iGOVERN™ CQM- State of Maine Implementation

Deliverable Name: User Documentation Version 1.0

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1. Introduction

1.1 Purpose

The purpose of the Complaint and Quality Management (CQM) User Documentation is to give assistance to the intended users. The documentation contains a written guide and the associated screenshots on how to use the system.

1.2 Conventions

CQM System uses the following conventions.

Item	Conventions
Buttons SEARCH	Click on a button to perform an action. The button text describes the action, which will occur upon clicking the button.
Check Box / Checklist	User can select one or more items from a list by checking the checkboxes.
Calendar	Click on icon to view the calendar look-up and select a date.
Collapse -	Condense section by clicking minus symbol.
Drop Down List Box Select	Control that displays a current setting, but can be opened to display a list of choices.

Expand +	Enlarge section to view additional details by clicking on plus symbol.
Link Hyperlink	Click/select a hyperlink to invoke a new page or a process. The text of the hyperlink will describe the action that will be invoked, e.g., Review Log, Details, etc.
List Box	A list box allows the user to select one or more items from a list contained within a static, multiple line text box. To select, the user will click on an item inside the text box. To make multiple selections, hold the Control (Ctrl) Button down when clicking on selections.
Location Look-Up	User can click on **Look-Up** **Button** to select existing location. If location does not exist in look-up table, user can type location in text box.
Page Size Per Page	User will be able to change screen to display a specific number of rows by entering a number up to 100 in the text box.
Paging Go To 1	Select number from list box to navigate to the page number chosen.
Paging Links First Prev Next Last	Click on hyperlinks to navigate to First, Last, Next or Last page of information being displayed.
Radio Button	By selecting one of the radio buttons in a group, the user can designate the desired option, e.g., Service List, Active Party List or Matter Contacts, Document to Check-In/Out, Add, etc.
Tabs My Cases (2)	Case File/MyInbox Screen will contain multiple tabs and based on the description of the tab will route the user to selected site, e.g., Public Documents, Contacts, etc.
Textbox	Purpose of text box is to allow the user to input text information to be used by the program. Enter data in a defined area on the page by typing in the text box.

Icon	Description
Calendar	Click on icon to view the calendar look-up and select a date.
Delete	Removes entry listed in the grid.
Document Included in Deliberation S	An Internal Material that has been attached as a Session Item to a Proposed Deliberation Item will be flagged with a blue letter icon.
Export	Click on icon to be able to save report in another format, i.e., PDF, Word, Excel, etc.
Find	To search report for a word or statement, enter text and then click on binoculars.
Go To 1 / 1	Type page number in the text box to navigate to the page number entered.
Supplemental Deliberation Item	If an agenda item is late, it will be flagged with a late icon.
Paging	Click on arrow hyperlinks to navigate to First, Back Next or Last page of information being displayed.
Print	Click on icon to print displayed report.
Required Fields *	All the mandatory entry fields are prefixed with a red asterisk.
Confidential Document	Icon denoting the document as either confidential or limited access.
Session Item Information	Click on icon to view Session Item and related details.
Show/Hide Group Tree	Click on icon to display subgroup of offices listed in a report. Tree categories will be hyperlinked to move to the location in the report where the subgroup is displayed.
Software Designator	Microsoft Excel Software
Software Designator	Microsoft Word Software
Software Designator	Adobe Acrobat Software
Software Designator	Adobe Portable Document Format (PDF)

2. Problem Reporting Instructions

Contact the System Administrator @ <<Administrators Number>>

3. System Features

3.1 Annual Report File

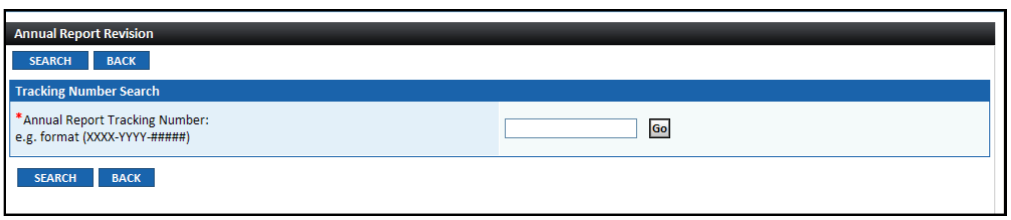
3.1.1 Revise Annual Report

The External Registered User can revise Annual Reports. The authorized user will submit a revision to any analysis field. The revised submission will function like Update Annual Report functionality wherein the Submitter will be able to update the information submitted previously for the Annual Report. To access the Annual Report Revision Screen, External Registered Users should click on the Annual Report File link on the Access Menu.

Some of the fields on this screen are mandatory entry fields as denoted by the red (*) asterisk; others fields are optional.

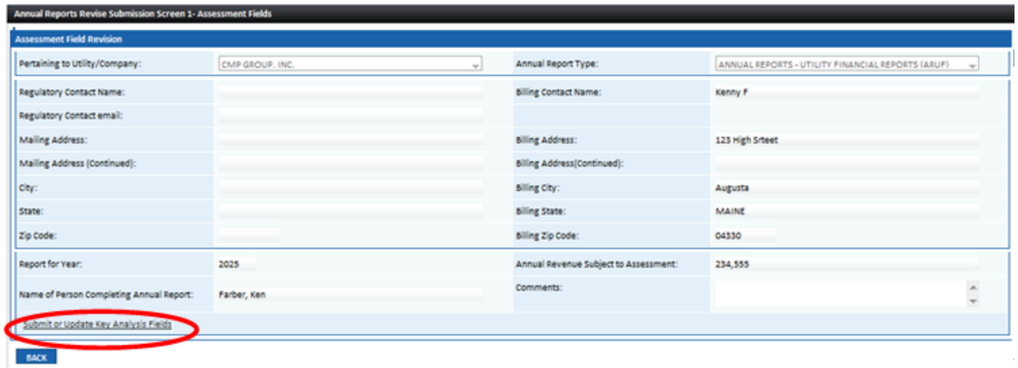
Objective:

❖ Revise a Annual Report

Step	Action
1.	From the **Home Page Access Menu**, click on **Annual Report File → Revise Annual Report**
2.	Enter the Tracking Number which needs to be revised and click on **Go Button.**  If the Tracking Number is not known, click on **Search** Button and search for the required Tracking Number.
3.	In the **Assessment Fields Submission Section** ❑ In case of revision, no information on the **Assessment Field Screen** can be updated by the External Registered User ❑ **Verify Contact Information of Person Completing this Annual Report** ○ If the information satisfies, then click on **Confirm** ○ Else, update the information and click on **Update Button**

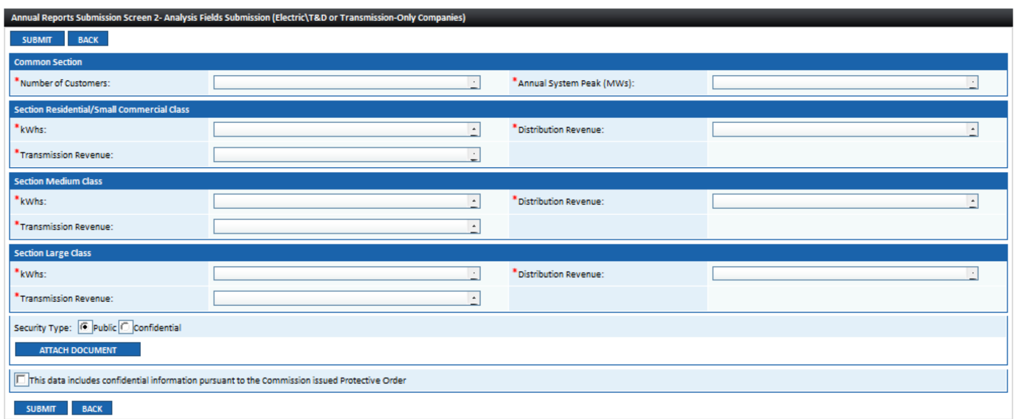
<table>
<tr><th>Step</th><th>Action</th></tr>
<tr><td>4.</td><td>

- For updating the **Key Analysis Fields,** click on **Update Key Analysis Fields hyperlink**

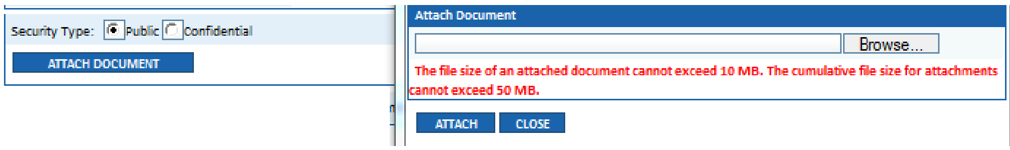


</td></tr>
<tr><td>5.</td><td>

- The **Analysis Fields Submission Screen** depends on the Utility Type and Subtype of the Pertaining to Utility Company
- Enter the required information for the **Analysis Fields**

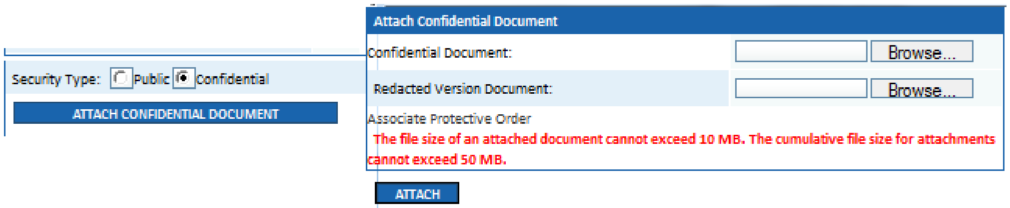


</td></tr>
</table>

Step	Action
6.	For Attaching Documents ❑ Select the security type as **Public** or **Confidential**  ❑ For Public document, click on **Attach Document Button** ○ Click on **Browse** and select the document you wish to attach ○ Click on **Open** ○ Click on **Attach** ○ Selected document should be displayed in the **Attached Documents grid** ○ By clicking on Red **X** associated with attached document, the document can be deleted prior to submitting the case

<table>
<tr><th>Step</th><th>Action</th></tr>
<tr><td>7.</td><td>

- For Confidential document, click on **Attach Confidential Document Button**



  - Click on **Browse** and select the **Confidential Document** you wish to attach
  - Click on **Browse** and select the **Redacted Version Document** you wish to attach
  - Associate **Protective Order** by clicking on the hyperlink
  - Search for protective order and attach
  - Selected document should be displayed in the **Attached Documents grid**
  - By clicking on Red X associated with attached document, the document can be deleted prior to submitting the case

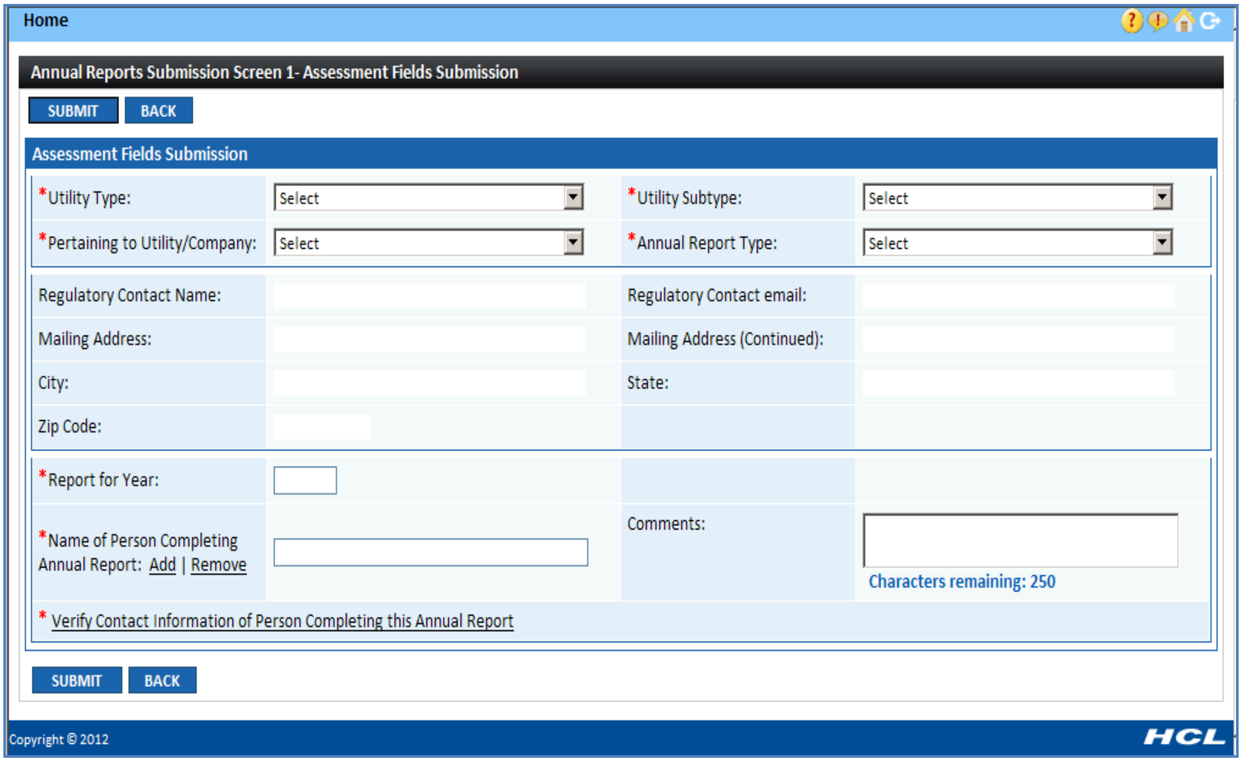
- Click on **Submit Button**

</td></tr>
<tr><td>8.</td><td>Click on Home hyperlink to return to the Home Page</td></tr>
</table>

3.1.2 Submit Annual Report

The External Registered User can submit Annual Reports via the CQM Application. All Utilities are required to file Annual Reports with the MPUC. To access the Annual Report Submission Screen, External Registered Users should click on the Annual Report File link on the Access Menu.

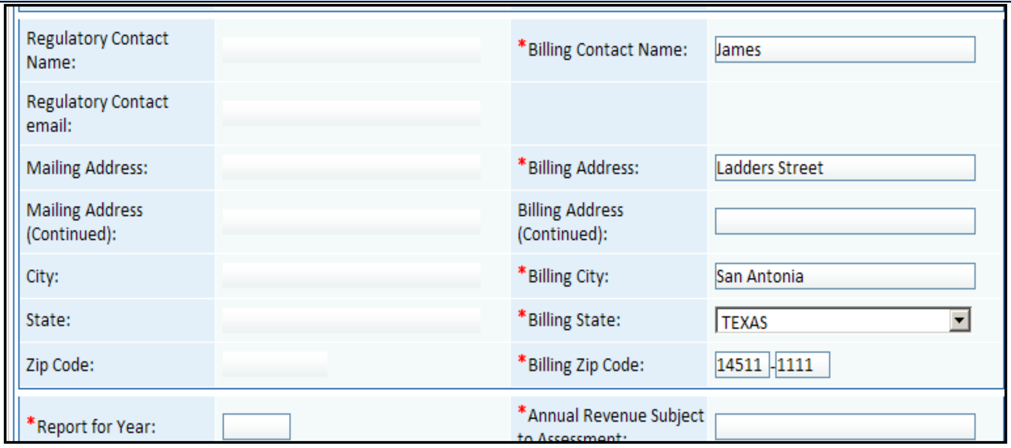
User should enter information for submitting an Annual Report. . Some of the fields on this screen are mandatory entry fields as denoted by the red (*) asterisk; others fields are optional.



Objective:

❖ Submit a New Annual Report

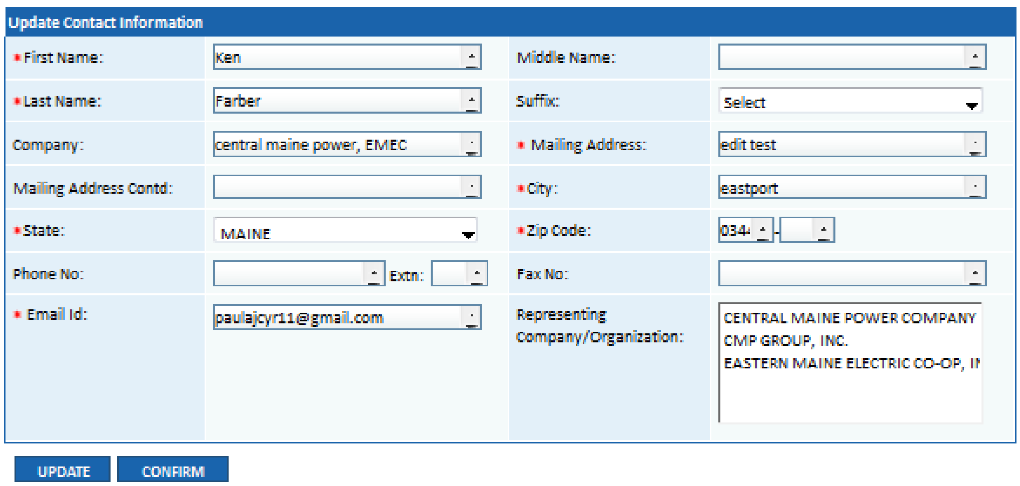
Step	Action
1.	From the **Home Page Access Menu**, click on **Annual Report File → Submit Annual Report**
2.	In the **Assessment Fields Submission Section** ❑ Select mandatory **Pertaining to Utility/Company** from drop down list. List will display only the Utilities/Companies that the logged in External Registered User represents. ❑ Select mandatory **Annual Report Type** from drop down list ❑ Based on the above selection, the Company details will be populated in the below section:

<table>
<tr><th>Step</th><th>Action</th></tr>
<tr><td></td><td>
</td></tr>
<tr><td>3.</td><td>If the above fields do not get populated, then enter the following mandatory information:

Billing Contact Name
Billing Address
Billing City
Billing State
Billing Zip Code

Enter mandatory Report for Year in textbox
Enter mandatory Annual Revenue Subject to Assessment in textbox
Name of Person Completing Annual Report will be system populated with the name of the logged in user
</td></tr>
</table>

Step	Action

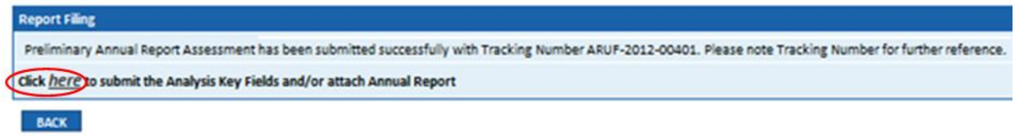
4.	❑ When the **Annual Report Type** is ARCP, then following things are mandatory:
	  ○ Enter mandatory **Docket Number granting license** in textbox
	  ○ Select **Is Company** by clicking on the **Radio Button**
	
	❑ Click on mandatory **Verify Contact Information of Person Completing this Annual Report hyperlink**
	  ○ If the information satisfies, click on **Confirm**
	  ○ Else, update the information and click on **Update Button**
	
	
	
	❑ Click on **Submit Button**

5.	Annual Report Submission **Confirmation Message** will be displayed

<table>
<tr><th>Step</th><th>Action</th></tr>
<tr><td>6.</td><td>

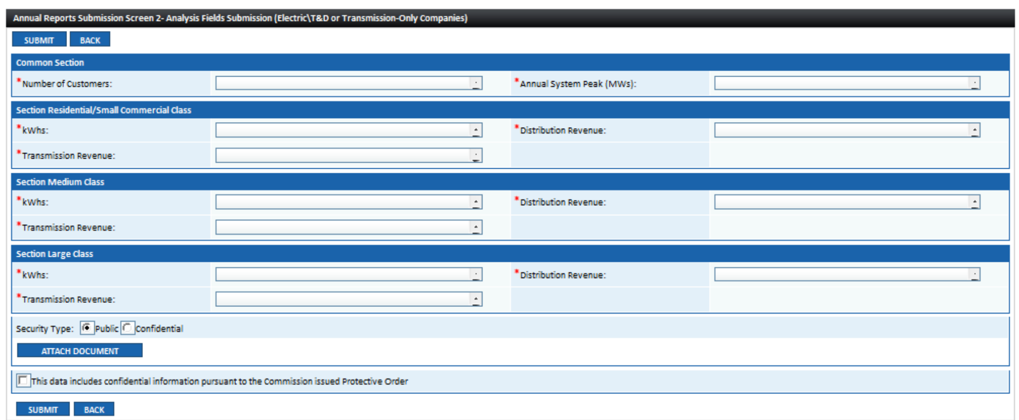
How to Submit Analysis Key Fields

- After submitting the Annual Report, the analysis can be done by clicking on the **Here hyperlink**



- The **Analysis Fields Submission Screen** depends on the Utility Type and Subtype of the Pertaining to Utility Company

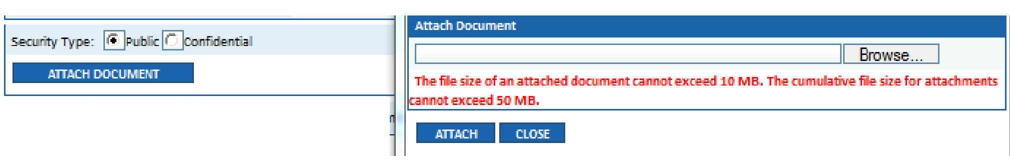
- Enter the required information for the **Analysis Fields**



</td></tr>
<tr><td>7.</td><td>

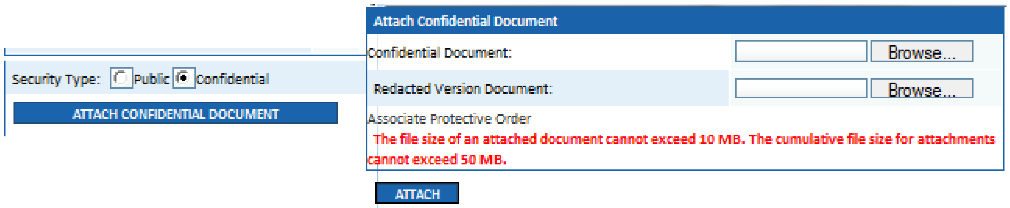
For Attaching Documents

- Select the security type as **Public** or **Confidential**



- For Public document, click on **Attach Document Button**
    - Click on **Browse** and select the document you wish to attach
    - Click on **Open**
    - Click on **Attach**
    - Selected document should be displayed in the **Attached Documents grid**

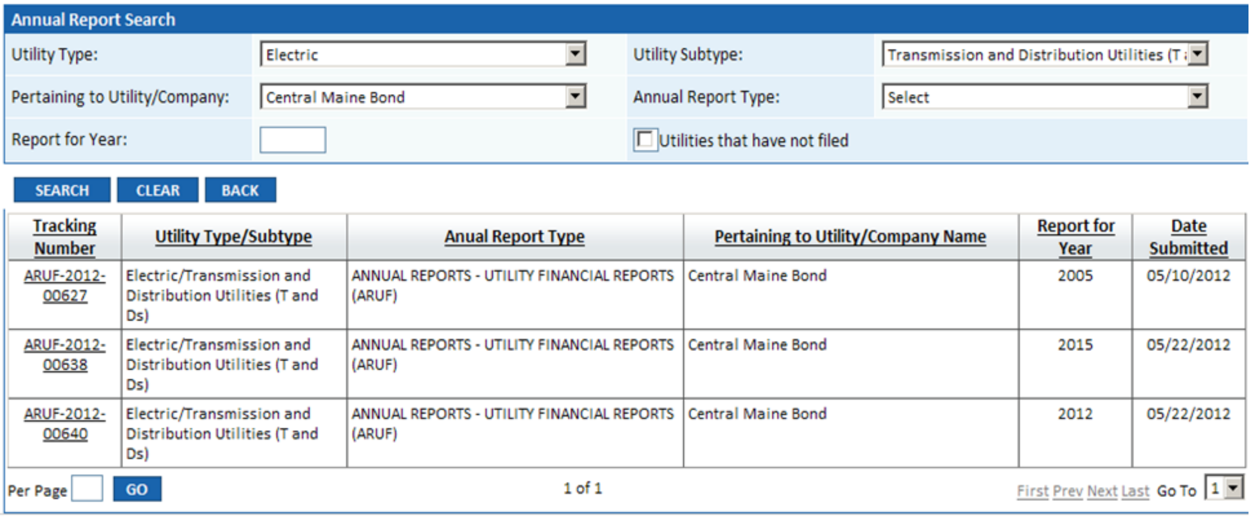
</td></tr>
</table>

Step	Action
	○ By clicking on Red **X** associated with attached document, the document can be deleted prior to submitting the case
8.	❑ For Confidential document, click on **Attach Confidential Document Button**  ○ Click on **Browse** and select the **Confidential Document** you wish to attach ○ Click on **Browse** and select the **Redacted Version Document** you wish to attach ○ Associate **Protective Order** by clicking on the hyperlink ○ Search for protective order and attach ○ Selected document should be displayed in the **Attached Documents grid** ○ By clicking on Red X associated with attached document, the document can be deleted prior to submitting the case ❑ Click on **Submit Button**
9.	To submit another annual report, click on **Back Button** and follow Step 2**;** otherwise, click on **Home hyperlink** to return to the **Home Page**

3.1.3 View/Search Annual Report

The External Registered User can search and view the Annual Reports. To access the Annual Report Search Screen, authorized users should click on the Annual Report File link on the Access Menu.

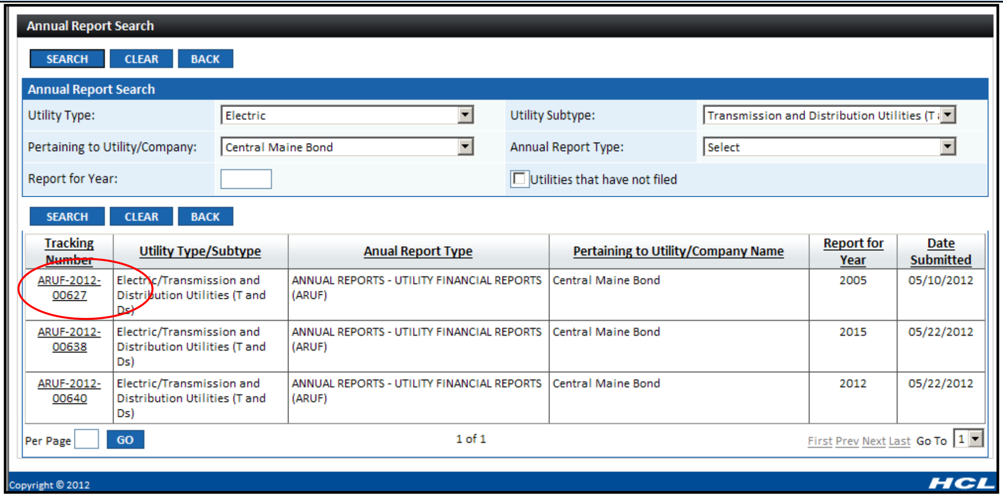
The External Registered user should enter the desired search criteria for searching an Annual Report. Some of the fields on this screen are mandatory entry fields as denoted by the red (*) asterisk; others fields are optional.



Objective:

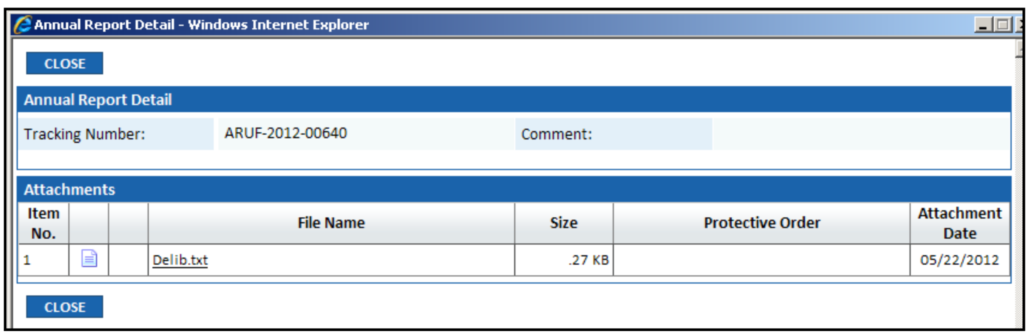
- ❖ Search a Annual Report

Step	Action
1.	From the **Home Page**, from **Access Menu** click on **Annual Report File → View/Search Annual Reports**
2.	In the **Annual Report Search Section** ❑ Enter the known search criteria and click on **Search Button** ❑ Result will be displayed matching the entered search criteria. ❑ For another search, click on **Reset Button** and re-enter the known search criteria to get the results.
3.	How to view the Annual Report Details ❑ Click on the **Tracking Number hyperlink in the displayed** grid

<table>
<tr><th>Step</th><th>Action</th></tr>
<tr><td></td><td>


</td></tr>
<tr><td>4.</td><td>

- A pop-up window will open containing the document details for selected Annual Report

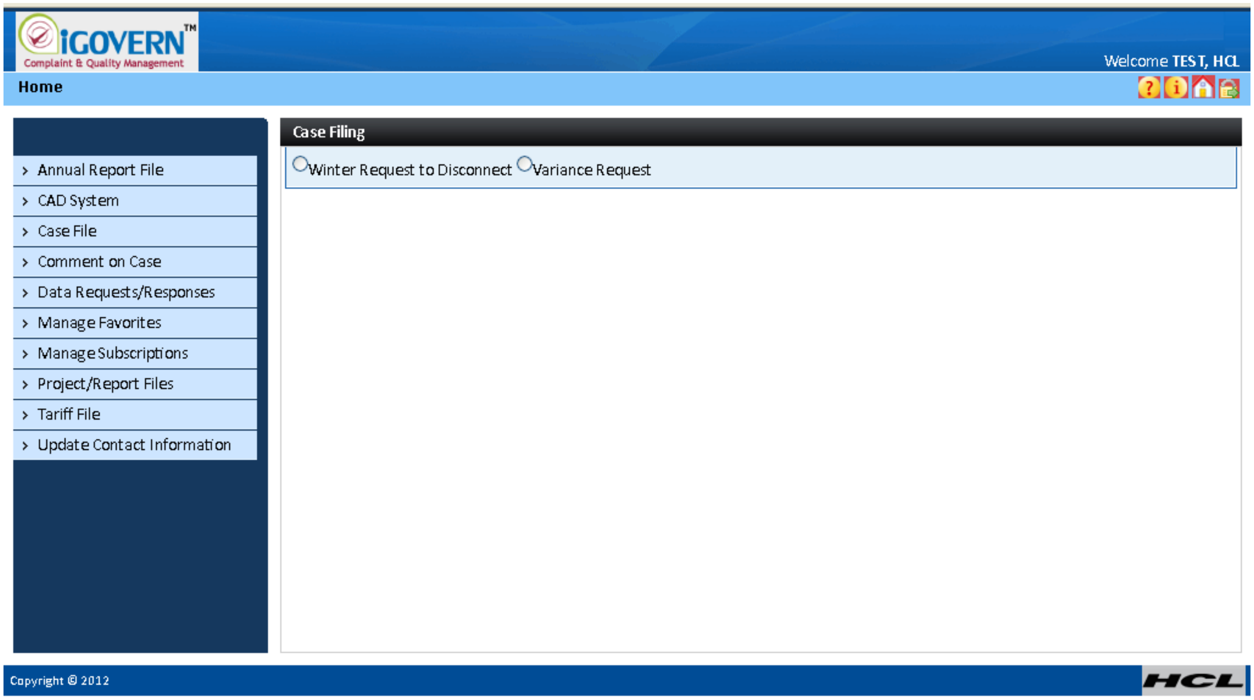


- The External Registered User can view all the public documents, but **Confidential documents** can only be viewed if user has been granted protective order access rights
</td></tr>
<tr><td>5.</td><td>Click on Home hyperlink to return to the Home Page</td></tr>
</table>

3.2 CAD System

3.2.1 CAD Case Filing

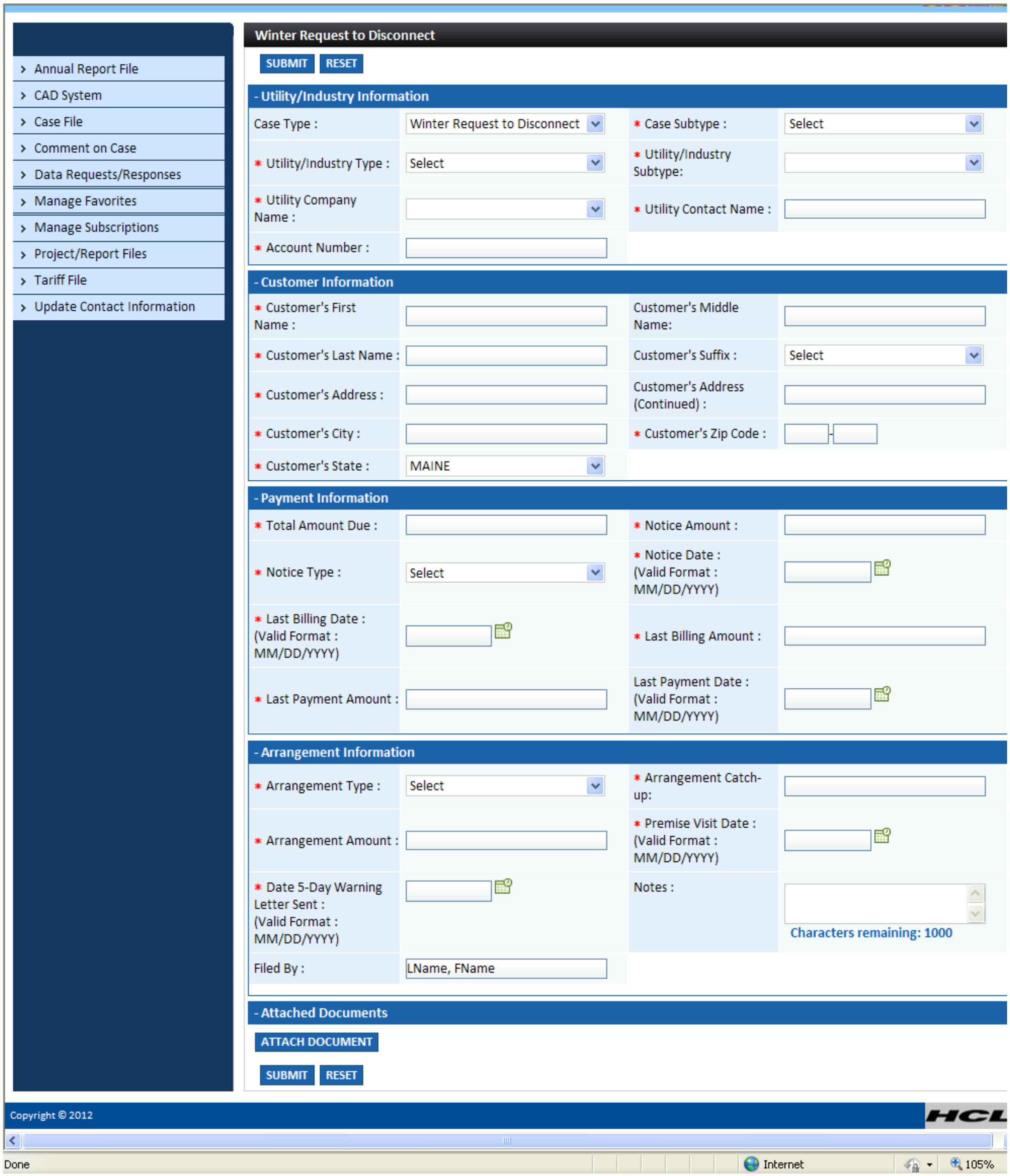
The Consumer Assistance Division module enables an External Registered Utility Company User to file a Variance Request or Winter Request if the company wishes to request deviation from the set of existing rules or the company intends to disconnect services of a customer due to nonpayment of bills or any other reason. The Utility Company can make the submission directly through the custom website or by communicating to the Internal CAD Staff. To access the Case Submission Screen, click on the CAD System link on the Access Menu.



3.2.1.1 Winter Request to Disconnect

The Consumer Assistance Division module enables an External Registered Utility Company User to file a Winter Request to disconnect if the company intends to disconnect services of a customer due to nonpayment of bills or any other reason. The Utility Company can make the submission directly through the custom website or by communicating to the Internal CAD Staff. To access the Case Submission Screen, click on the CAD System link on the Access Menu.

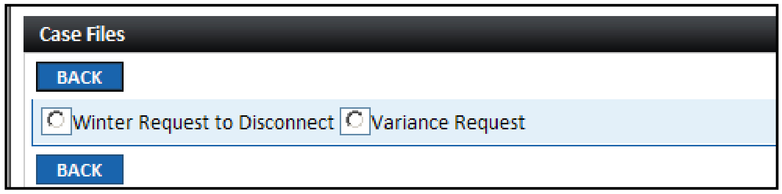
External Registered User should enter the Case details for processing a new Winter Request to Disconnect Case. Some of the fields on this screen are mandatory entry fields as denoted by the red (*) asterisk; other fields are optional.



Objective:

- ❖ Submit a New Winter Request to Disconnect

Step	Action
1.	From the **Home Page**, click on **CAD System → CAD Case Filing** on the access menu list

Step	Action
2.	Select the **Winter Request to Disconnect Radio Button** 
3.	In the **Utility/Industry Information Section** ❑ **Case Type** selected as **Winter Request to Disconnect** by default ❑ Select from the drop down lists the following: ○ **Case Subtype** ○ **Utility/Industry Type** ○ **Utility/Industry Subtype** ❑ Select **Utility Company Name** from drop down list. List will display only the Utilities/Companies that the logged in External Registered User represents. ❑ Enter mandatory **Utility Contact Name** in textbox ❑ Enter mandatory **Account Number** in textbox
4.	In the **Customer Information Section** ❑ Enter mandatory **Customer's First Name** in textbox ❑ Enter mandatory **Customer's Last Name** in textbox ❑ Enter mandatory **Customer's Address** in textbox ❑ Enter mandatory **Customer's City** in textbox ❑ Enter mandatory **Customer's Zip Code** in textbox ❑ Select **Customer's State** from drop down.

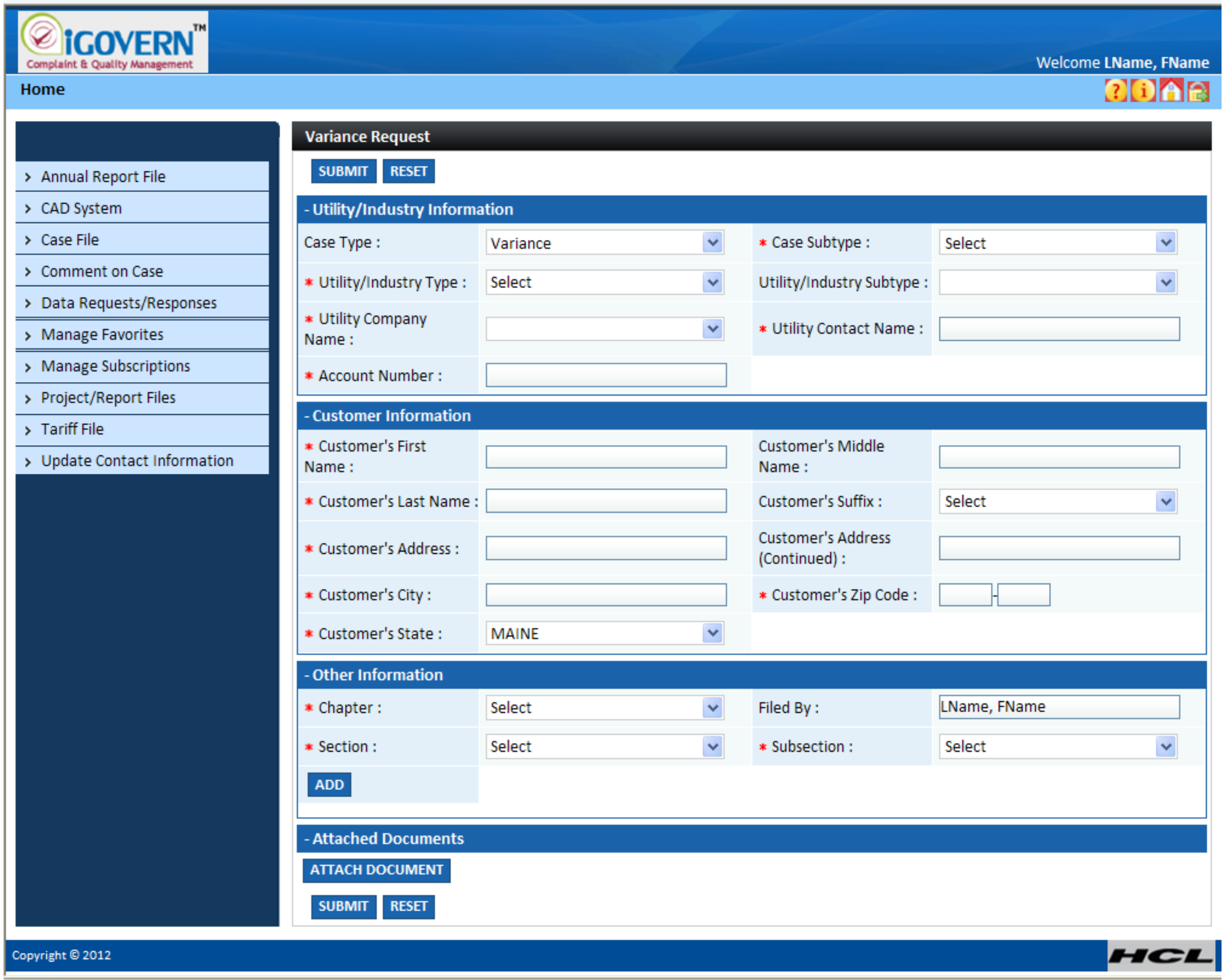
Step	Action
5.	In the **Payment Information Section** ❑ Enter mandatory **Total Amount Due** ❑ Enter mandatory **Notice Amount** ❑ Select mandatory **Notice Type** from drop down list ❑ Enter mandatory **Notice Date** in textbox ❑ Enter mandatory **Last Billing Date** in textbox ❑ Enter mandatory **Last Billing Amount** in textbox ❑ Enter mandatory **Last Payment Amount** in textbox ❑ Enter **Last Payment Date** in textbox
6.	In the **Arrangement Information Section** ❑ Select mandatory **Arrangement Type** from drop down ❑ Enter mandatory **Arrangement Catch-up** in textbox ❑ Enter mandatory **Arrangement Amount** in textbox ❑ Enter mandatory **Premise Visit Date** in textbox using the calendar icon (conditional entry – depends on Case Subtype of Utility/Industry) ❑ Enter mandatory **Date 5-Day Warning Letter Sent** in textbox using the calendar icon (conditional entry– depends on Case Subtype of Utility/Industry) ❑ **Filed By** will be system populated with name of logged in External Registered User
7.	In the **Attached Documents Section** ❑ Click on **Attach Document Button** ○ Click on **Browse** and select the document you wish to attach ○ Click on **Open** ○ Click on **Attach** ○ Selected document should be displayed in the **Attached**

Step	Action
	Documents grid ○ By clicking on Red **X** associated with attached document, the document can be deleted prior to submitting the case ❑ Click on **Submit Button**
8.	**Case Submission Confirmation Message** will be displayed and CAD Case Number will be generated
9.	Click on **Home hyperlink** to return to the **Home Page**

3.2.1.2 Variance Request to Disconnect

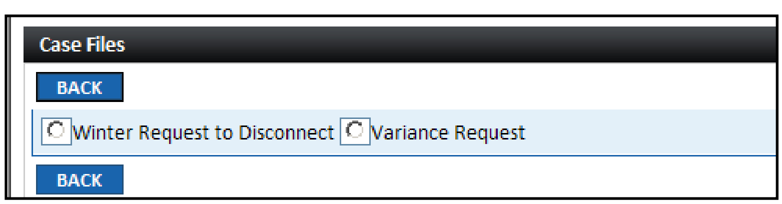
The Consumer Assistance Division module enables an External Registered Utility Company User to file a Variance Request if the company wishes to request deviation from the set of existing rules. The Utility Company can make the submission directly through the custom website or by communicating to the Internal CAD Staff. To access the Case Submission Screen, click on the CAD System link on the Access Menu.

The user should enter the Case details for processing a new Variance Case. Some of the fields on this screen are mandatory entry fields as denoted by the red (*) asterisk; others fields are optional.



Objective:

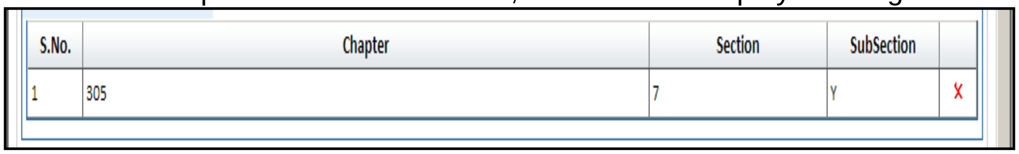
❖ Submit a New Variance

Step	Action
1.	From the **Home Page**, click on **CAD System → CAD Case Filing** on the access menu list
2.	Select the **Variance Request Radio Button** 
3.	In the **Utility/Industry Information Section**

Step	Action
	❑ **Case Type** selected as **Variance** by default ❑ Select from the dropdown lists the following: ○ **Case Subtype** ○ **Utility/Industry Type** ○ **Utility/Industry Subtype** ❑ Select a **Utility Company Name** from drop down list. ○ List will display only the Utilities/Companies that the logged in External Registered User represents. ❑ Enter mandatory **Utility Contact Name** in textbox ❑ Enter mandatory **Account Number** in textbox ❑ Enter mandatory **Utility Contact Name** in textbox ❑ Enter mandatory **Account Number** in textbox
4.	In the **Customer Information Section** ❑ Enter mandatory **Customer's First Name** in textbox ❑ Enter mandatory **Customer's Last Name** in textbox ❑ Enter mandatory **Customer's Address** in textbox ❑ Enter mandatory **Customer's City** in textbox ❑ Enter mandatory **Customer's Zip Code** in textbox ❑ Select **Customer's State** from drop down

<table>
<tr><th>Step</th><th>Action</th></tr>
<tr><td>5.</td><td>In the Other Information Section

Select mandatory Chapter from dropdown
Select mandatory Section from dropdown
Select mandatory Subsection from dropdown
Click on Add button to add the above selected Chapter/Section/Subsection, which will be displayed in a grid as:


<table>
<tr><th>S.No.</th><th>Chapter</th><th>Section</th><th>SubSection</th><th></th></tr>
<tr><td>1</td><td>305</td><td>7</td><td>Y</td><td>X</td></tr>
</table>
By clicking on Red X associated with chapter/section/subsection, the associated values can be deleted prior to submitting the case

Filed By will be system populated with name of logged in External Registered User

</td></tr>
<tr><td>6.</td><td>In the Attached Documents Section

Click on Attach Document Button

Click on Browse and select the document you wish to attach
Click on Open
Click on Attach
Selected document should be displayed in the Attached Documents grid
By clicking on Red X associated with attached document, the document can be deleted prior to submitting the case

Click on Submit Button

</td></tr>
<tr><td>7.</td><td>Case Submission Confirmation Message displayed and CAD Case Number will be generated</td></tr>
<tr><td>8.</td><td>Click on Home hyperlink to return to the Home Page</td></tr>
</table>

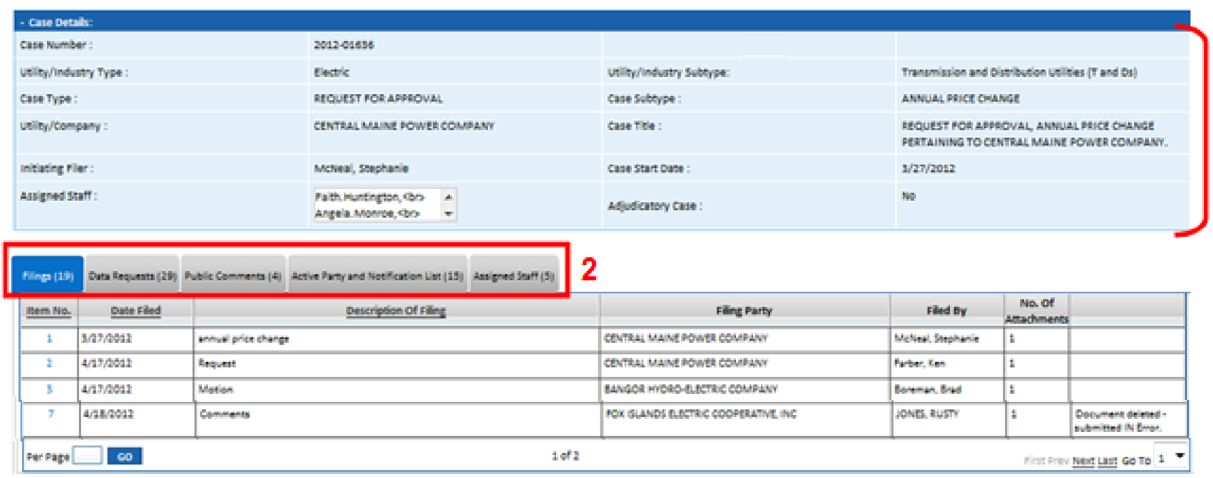
3.3 Case File

3.3.1 Case Files

The Case File Screen (1) provides user with a wide array of information and functionality for specific case. The Case File can be accessed by clicking on Case File link on the Access Menu → Case Files.

In the upper portion of the Case File Screen, Cases Details (metadata) are displayed. The metadata includes:

- Case Number
- Utility/Industry Type
- Utility/Industry Subtype
- Case Type
- Case Subtype
- Pertaining to Utility/Company
- Case Title
- Initiating Filer
- Case Start Date
- Assigned Staff
- Adjudicatory Case: (Yes/No)
- Statutory Reference
- MPUC Reference



In addition to providing the Case Details (1), the Case File Screen (see Case File Screen Shot above (2) includes the following tabs:

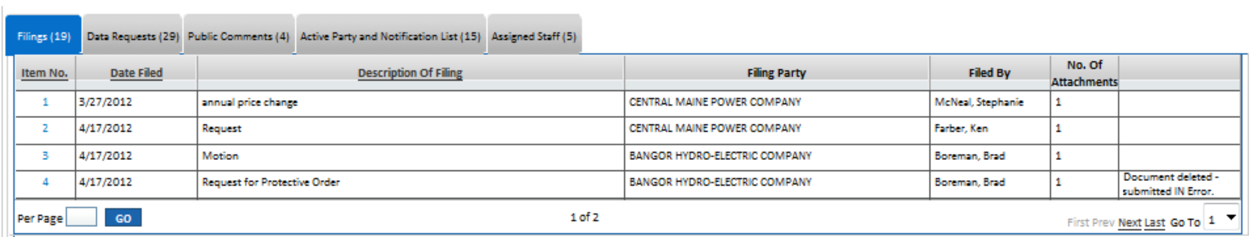
- Filings (Viewable by Staff and External Users - Registered and Public with restrictions for confidential/secured viewing in place)
- Data Requests (Viewable by Staff and External Users - Registered and Public with restrictions for confidential/secured viewing in place)
- Public Comments (Viewable by Staff with Manage Rights to Authorized Staff Users and External Users - Registered and Public with restrictions for confidential viewing in place)
- Active Party and Notification List (Viewable by Staff Users and External Users - Registered and Public)
    - Active Party List (Viewable by Staff Users and External Users - Registered and Public)
- Assigned Staff (Viewable by Staff and External Users - Registered and Public)

3.3.1.1 Case Filings Tab

Adjudicatory and Non-Adjudicatory Cases

When the Case File Screen is accessed, the default view is the Filings tab which contains a listing of filings/issuances associated with a specific case. This screen is available to External Users (Registered and Public).

Objective:

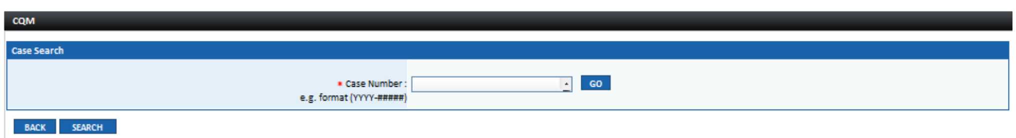


Filings (19) | Data Requests (29) | Public Comments (4) | Active Party and Notification List (15) | Assigned Staff (5)

Item No.	Date Filed	Description Of Filing	Filing Party	Filed By	No. Of Attachments	
1	3/27/2012	annual price change	CENTRAL MAINE POWER COMPANY	McNeal, Stephanie	1	
2	4/17/2012	Request	CENTRAL MAINE POWER COMPANY	Farber, Ken	1	
3	4/17/2012	Motion	BANGOR HYDRO-ELECTRIC COMPANY	Boreman, Brad	1	
4	4/17/2012	Request for Protective Order	BANGOR HYDRO-ELECTRIC COMPANY	Boreman, Brad	1	Document deleted - submitted IN Error.

Per Page GO 1 of 2 First Prev Next Last Go To 1

❖ View Filed/Issued Documents

Step	Action
1.	From the ***Home*** **Page →**, Click on **Case File → Case Files** on the access menu list
2.	Case Search will be displayed ❑ Enter **Case Number** in **Text Box**  ❑ Click on **GO Button** to display specified **Case File.** **- OR –**
3.	If user does not know case number: ❑ Click on **Search Button**, enter known search criteria ❑ Click on **Search Button** ❑ Search result will display all cases matching entered parameters ❑ Click on **Case Number hyperlink** to be navigated to the **Case File Screen** for the specified case.

<table>
<tr><th>Step</th><th>Action</th></tr>
<tr><td>4.</td><td>By default the Filings tab will be selected and the grid will display all filings and issuances in the grid with the following columns:

❑ Item No.

❑ Date Filed

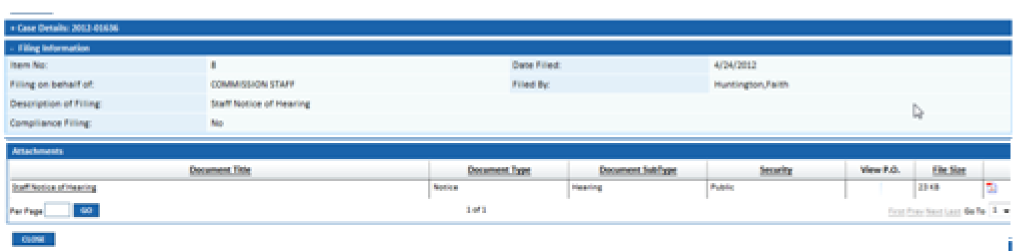
❑ Description of Filing

❑ Filing Party

❑ Filed By

❑ No. of Attachment(s)

❑ If a filing has been rejected the last column will display the following: Document deleted – submitted in Error</td></tr>
<tr><td>5.</td><td>❑ Click on Back Button to navigated to the previous screen</td></tr>
<tr><td>6.</td><td>❑ Click on Item No. link for the filing to view filing details and attachment(s)


</td></tr>
<tr><td>7.</td><td>Filing Information will be displayed in the first section:

❑ Item No.

❑ Filing on Behalf of

❑ Description of Filing

❑ Compliance Filing (Yes/No)

❑ Date Filed

❑ Filed By</td></tr>
<tr><td>8.</td><td>Attachments Sections will display with the following columns:</td></tr>
</table>

Step	Action
	❑ Document Title (hyperlink) ❑ Document Type ❑ Document Subtype ❑ Security ❑ View P.O. ❑ File Size ❑ Software Designator Icon
9.	In the Attachments Grid: ❑ Click on **Document Title** link to view attachment ○ Document will open second pop-up window that will display the public document ○ Document can also be saved use users computer ○ Confidential Document access will be based on security measures in place (Clerk of the Commission, Assigned Staff and Staff Users who have been granted access by Clerk of the Commission) ❑ Close the document once it has been viewed
10.	❑ Click on **Close Button** to close the Filing Information pop-up window

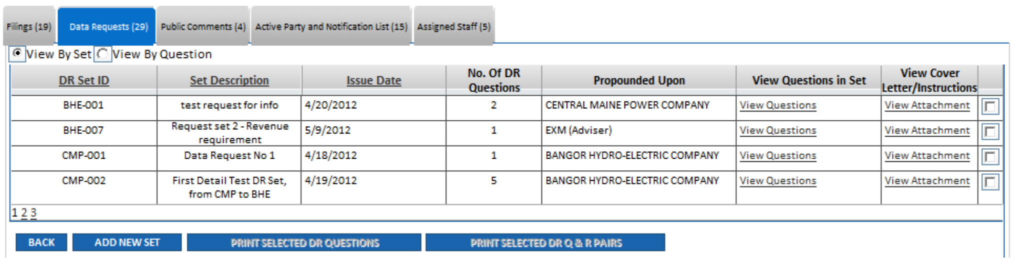
3.3.1.2 Data Request Tab

Data Request tab provides the ability for Internal and External Registered Users to view DR Questions and Responses which have been propounded for the case. By default the screen will display by Sets. User can select Radio Button to view by Question.

DR Sets may be submitted by the Commission Staff assigned to the Case and by External Registered Users. Such DR Sets may be directed to Commission Staff, Company/Organization represented by Active Parties, Company/Organization represented by Notification List members, any individual in contact list and any individual/company/organization not in the application.

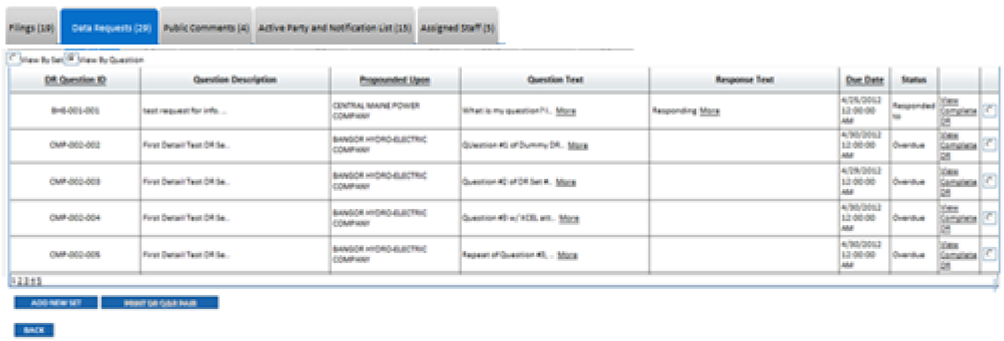
Confidential DR Question or DR Response attachments must be associated with protective order existing in Case filing with the same security and functionally as is in place for case filings.

Step	Action
1.	From the ***Home* Page** → Click on **Case File** → **Case Files** on the access menu list
2.	Case Search will be displayed ❑ Enter **Case Number** in **Text Box** ❑ Click on **GO Button** to display specified **Case File.** **- OR -** If user does not know case number: ❑ Click on **Search Button**, enter known search criteria ❑ Click on **Search Button** ❑ Search result will display all cases matching entered parameters ❑ Click on **Case Number hyperlink** to be navigated to the **Case File Screen** for the specified case.

Step	Action
3.	By default the **Filings tab** will be selected and the grid will display all Commission filings and issuances. ❑ **Click on Data Requests tab** 
4.	The **View by Set** default grid will displayed with the following columns: ❑ Set ID ❑ Set Description ❑ Issue Date ❑ No. Of DR Questions ❑ Propounded Upon ❑ View Questions in Set ❑ View Cover Letter/Instructions ❑ Print Checkbox ❑ Buttons for authorized users: **Add New Set, Print Selected DR Questions, Print Selected DR Q&R Pairs and Back**

<table>
<tr><th>Step</th><th>Action</th></tr>
<tr><td>5.</td><td>

- Click on **View By Question Radio Button** to view questions



The grid will displayed with the following columns:

- DR Question ID
- Question Description
- Propounded Upon
- Question Text
- Response Text
- Due Date
- Status
- View Complete DR (hyperlink)
- Print Radio Button
- **Buttons for authorized users: Add New Set, Print DR Q&R Pair and Back**

</td></tr>
</table>

3.3.1.3 Public Comments Tab

When External Users (Registered and Public) submit public comments they are displayed under the Public Comments tab on the Case File Screen. The Clerk is authorized to manage the comments. Comments can be managed from the Case File Screen or from the Clerk's Inbox → Public Comments Queue.

.

<table>
<tr><th>Step</th><th>Action</th></tr>
<tr><td>1.</td><td>From the Home Page → Click on Case File → Case Files on the access menu list</td></tr>
<tr><td>2.</td><td>Case Search will be displayed

❑ Enter Case Number in Text Box

❑ Click on GO Button to display specified Case File.

- OR -

If user does not know case number:

❑ Click on Search Button, enter known search criteria

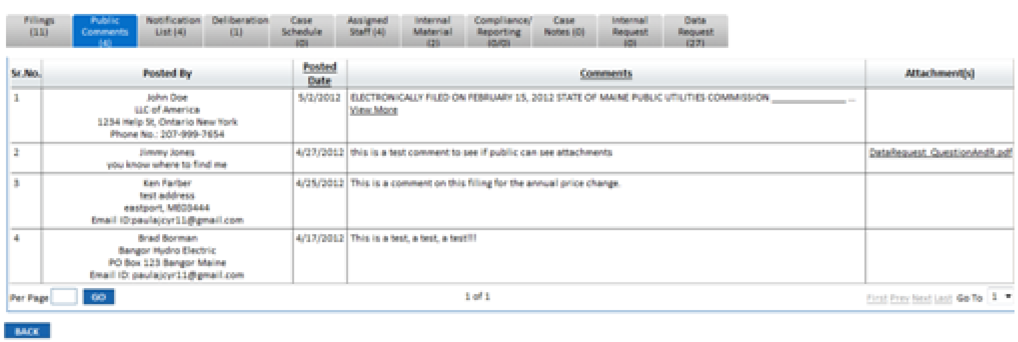
❑ Click on Search Button

❑ Search result will display all cases matching entered parameters

❑ Click on Case Number hyperlink to be navigated to the Case File Screen for the specified case.</td></tr>
<tr><td>3.</td><td>By default the Filings tab will be selected and the grid will display all Commission filings and issuances.

❑ Click on Public Comments tab

❑ Public Comment grid will be displayed


</td></tr>
</table>

Step	Action
4.	Public Comments grid will be displayed with the following columns: ❑ Sr. No. ❑ Posted By ❑ Posted Date ❑ Comments ❑ Attachments (click on hyperlink to view attachment, if included) ❑ **Back Button** will navigate user to the **Home Page**

3.3.1.4 Active Party and Notification List Tab

You will be able to view an official listing of interested entities in the Case. The tab is divided into two categories:

Notification List - all members interested in the Case.

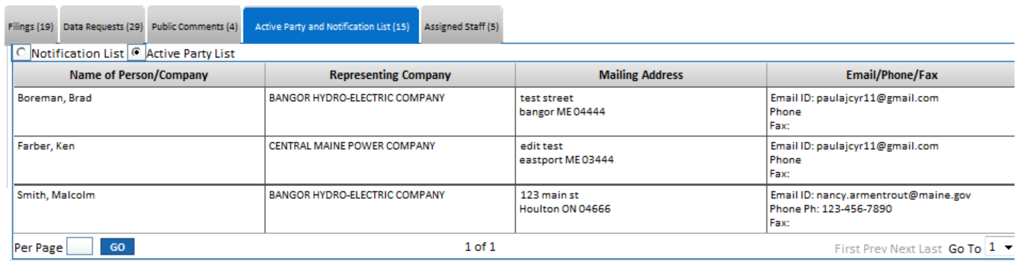
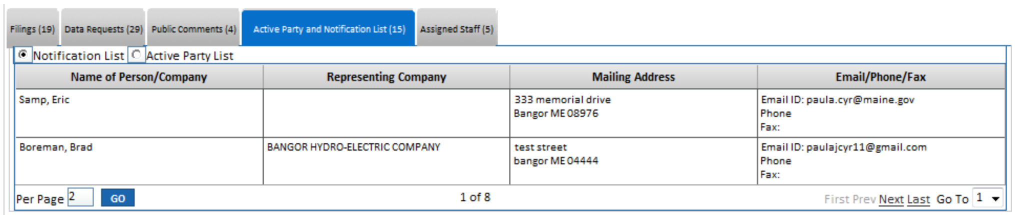
Active Party List – Notification List members elevated to an Active Party by the authorized user assigned to the Case.

View and Manage Notification List

Objective:

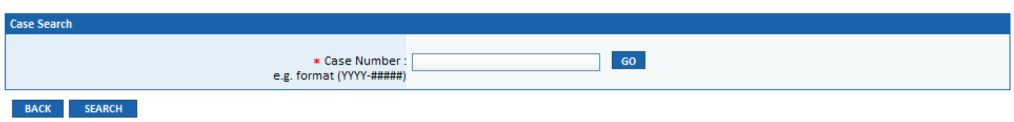
❖ View Active Party and Notification Lists

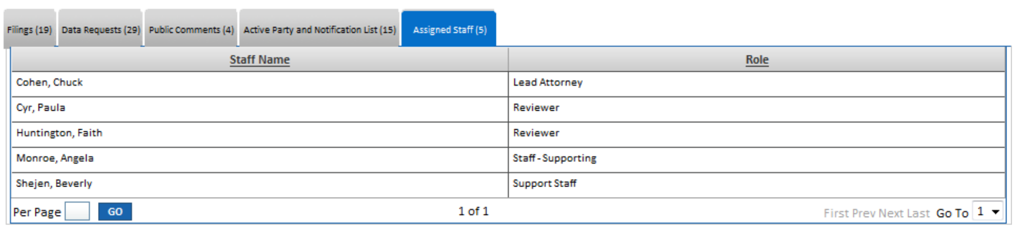
Step	Action
1.	Logged in External Registered User from the **Case File Screen** ❑ Click on the **Active Party and Notification List** tab

2.	❑ Default view will display **Active Party List** 
3.	❑ Select **Notification List Radio Button** to view interesting members 

3.3.1.5 Assigned Staff Tab

The Assigned Staff tab will display the information of the staff currently assigned to the case.

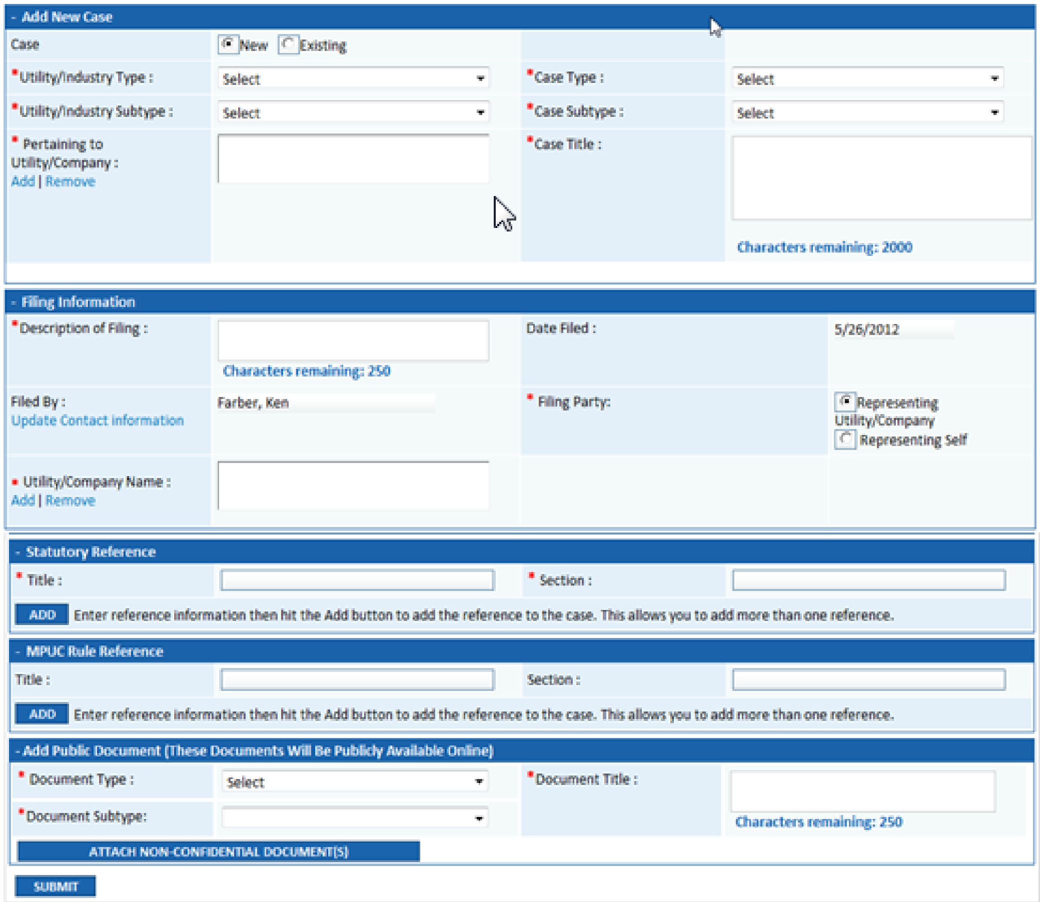
Step	Action
1.	From the ***Home* Page** → Click on **Case File** → **Case Files** on the access menu list
2.	Case Search will be displayed  ❑ Enter **Case Number** in **Text Box** ❑ Click on **GO Button** to display specified **Case File.** **- OR -** If user does not know case number: ❑ Click on **Search Button**, enter known search criteria ❑ Click on **Search Button**

Step	Action
	❑ Search result will display all cases matching entered parameters ❑ Click on **Case Number hyperlink** to be navigated to the **Case File Screen** for the specified case.
3.	By default the **Filings tab** will be selected and the grid will display all Commission filings and issuances. ❑ Click on **Assigned Staff tab** ❑ **Assigned Staff grid** will be displayed 
4.	**Assigned Staff grid** will display with the following columns: ❑ Staff Name ❑ Role

3.3.2 Submit New Case or Filing

The Case Filing module enables users to submit new cases and documents in electronic form for various types of matters to a document repository. New cases and document filings can be filed by authorized MPUC Staff and External Users with specifically applied access rights. To access the Case Filing Screen, authorized users should click on the Case File link on the Application Level Access Menu and select Submit New Case or Filing.

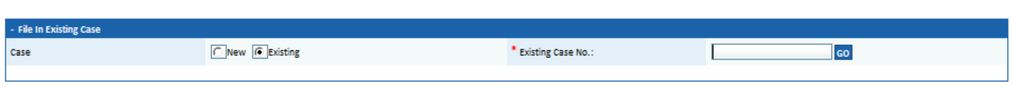
The user should enter the Case Filing details for processing a New Case filing. Some of the fields on this screen are mandatory entry fields as denoted by the red (*) asterisk; others fields are optional.



3.3.2.1 Submit New Case

Objective:

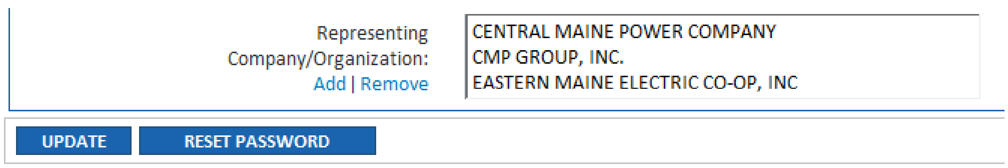
❖ Submit a Filing for a New Case

Step	Action
1.	From the **Home Page**, click on **Case File → Submit a New Case or Filing** on the access menu list
2.	Select the **New Radio Button** 

Step	Action
3.	In the **Add New Case Section** ❑ Select from the drop down lists the following: ○ **Utility/Industry Type** ○ **Utility/Industry Subtype** ○ **Case Type** ○ **Case Subtype** ❑ To select a Pertaining to Utility/Company ○ Click on **Add link** ○ Click on **Search Button** to display all utilities/companies matching the previously selected Utility/Industry Type and Subtype Select Utility/Company **Checkbox** and click on **Select Button** ❑ Verify that the **Case Title** has been auto populated in multiline text box and can be edited

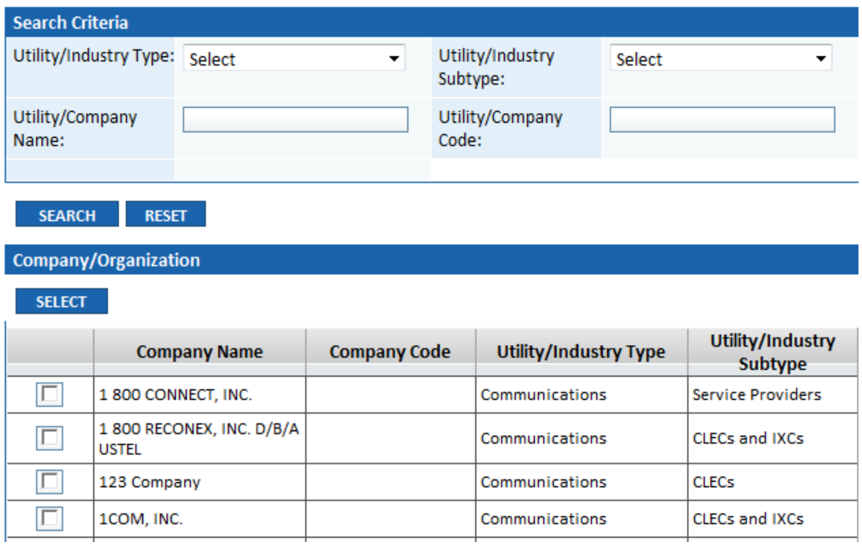
Step	Action

4.	In the **Filing Information Section**
	
	❑ Enter **Description of Filing** in multiline test box
	
	❑ **Date Filed** will be system populated with current date
	
	❑ **Filed By** will be system populated with name of logged in External Registered User
	
	To add **Representing Utility/Company**
	
	❑ **Filing Party Radio Button** for **Representing Utility/Company** should be selected by default
	
	❑ Click **Add link** to display listing of Utilities/Companies Represented by the logged in user.
	  ○ Select applicable **Checkbox(s)**
	  ○ Click on **Select Button** to add selection
	
	❑ If selection needs to be **Removed**
	  ○ Click on Utility/Company Name
	  ○ Click on **Remove link**

Step	Action
5.	**Note:** If the utility/company that the logged in user represents is not displayed in Utility/Company Listing user should: ❑ Go to **Home Page** ❑ **Click on Update Contact Information** and go to the bottom of the screen to update Representing ❑ Click on **Add hyperlink** 

<table>
<tr><th>Step</th><th>Action</th></tr>
<tr><td>6.</td><td>

Search for Representing Utility/Company
Select Checkbox associated with Utility/Company that needs to be added to logged in users Representing list
Click on Select Button
To continue with New Case Filing go to Case File →Submit New Case or Filing Screen (See Step 1 above)

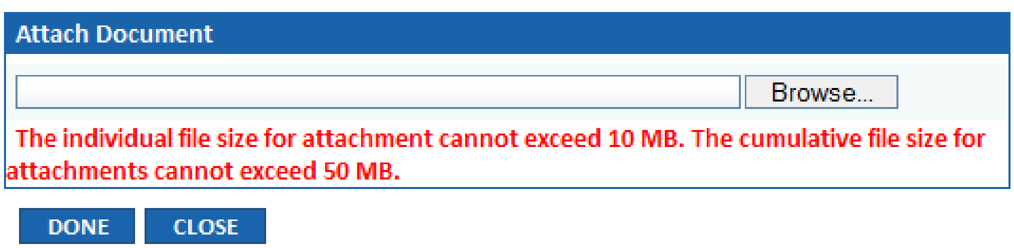


</td></tr>
<tr><td>7.</td><td>
To add filing for Representing Self (individual)

Select Filing Party Radio Button for Representing Self

Filed By was system populated and will be used for “Representing Self”
Update Contact Information hyperlink is displayed if filer information requires editing

</td></tr>
</table>

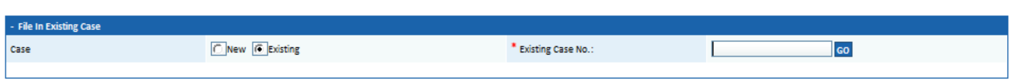
Step	Action
8.	In the **Statutory Reference Section** ❑ Enter mandatory **Title** in textbox ❑ Enter mandatory **Section** textbox ❑ Click on **Add Button**
9.	In the **MPUC Rule Reference Section** ❑ Enter optional **Title** in textbox ❑ Enter optional **Section** in textbox ❑ Click on **Add Button**
10.	In the **Add Public Document Section** ❑ Select **Document Type** and **Document Subtype** from the drop down lists ❑ Enter **Document Title** in the multiline textbox ❑ Click on **Attach Non-Confidential Document(s) Button**  ❑ **Click on Browse and** select the document you wish to attach ❑ Click on **Open** ❑ Click on **Done** ❑ Selected document should be displayed in the **Attached Documents grid** ❑ By clicking on Red **X** associated with attached document, the document can be deleted prior to submitting the filing

Step	Action
	❑ Click on **Submit Button**
11.	Case Filing Confirmation Message displayed ❑ Case Number generated ❑ Email Notifications distributed to o Notification List o Active Party List o Assigned MPUC Staff

3.3.2.2 Submit Filing in an Existing Case

Objective:

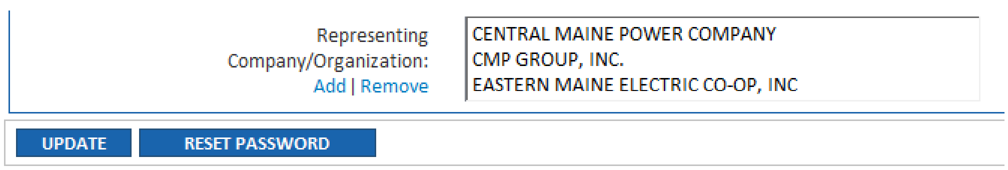
❖ Submit a Filing for an Existing Case

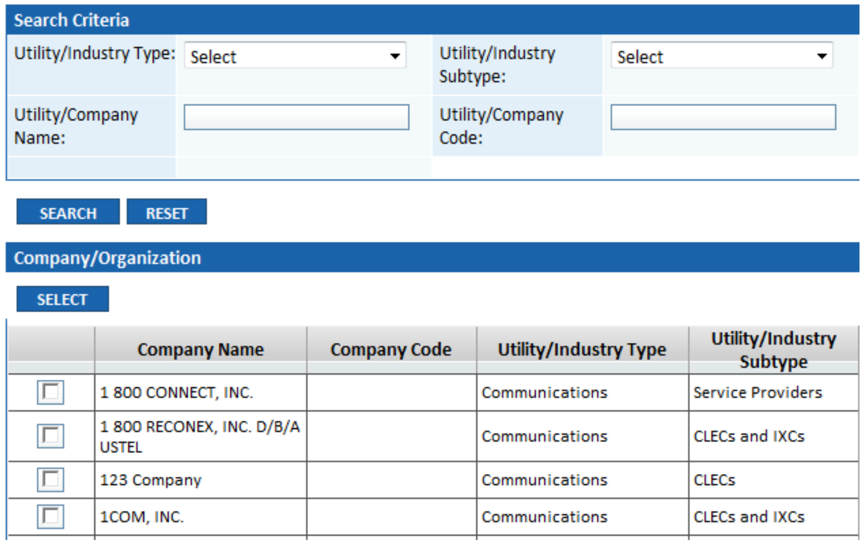
Step	Action
1.	From the **Home Page**, click on **Case File → Submit New Case or Filing** on the access menu list
2.	**Existing Radio Button** should be selected by default
3.	Enter the **Existing Case No.** in Text Box 
4.	Click on **Go**

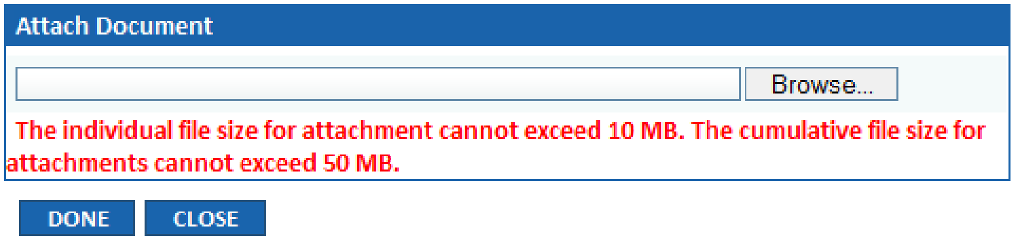
Step	Action
5.	In the **Filing in Existing Case Section** existing case details will be displayed ❑ Existing Case No. ❑ Utility/Industry Type ❑ Utility/Industry Subtype ❑ Case Type ❑ Case Subtype ❑ Pertaining to Utility/Company| ❑ Case Title ❑ Check if this is a Compliance Filing **Checkbox**
6.	In the **Filing Information Section** ❑ Enter **Description of Filing** in multiline test box ❑ **Date Filed** will be system populated with current date ❑ **Filed By** will be system populated with name of logged in External Registered User To add **Representing Utility/Company** ❑ **Filing Party Radio Button** for **Representing Utility/Company** should be selected by default ❑ Click **Add link** to display listing of Utilities/Companies Represented by the logged in user. ○ Select applicable **Checkbox(s)** ○ Click on **Select Button** to add selection

Step	Action

	❑ If selection needs to be **Removed**
	  ○ Click on Utility/Company Name
	  ○ Click on **Remove link**

7.	**Note:** If the utility/company that the logged in user represents is not displayed in Utility/Company Listing user should: ❑ Go to **Home Page** ❑ **Click on Update Contact Information** and go to the bottom of the screen to update Representing ❑ Click on **Add hyperlink** 
8.	❑ **Search** for Representing Utility/Company ❑ Select **Checkbox** associated with Utility/Company that needs to be added to logged in users Representing list ❑ Click on **Select Button** ❑ To continue with New Case Filing go to **Case File →Submit New Case or Filing Screen (**See Step 1 above**)**

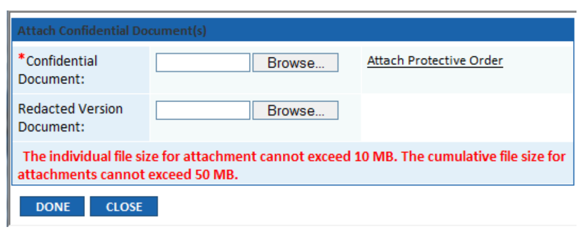
Step	Action
	
9.	To add filing for **Representing Self** (individual) ❑ Select **Filing Party Radio Button** for **Representing Self** ○ **Filed By** was system populated and will be used for "Representing Self" ○ **Update Contact Information hyperlink** is displayed if filer information requires editing
10.	In the **Add Public Document Section** ❑ Select **Document Type** and **Document Subtype** from the drop down lists ❑ Enter **Document Title** in the multiline textbox ❑ Click on **Attach Non-Confidential Document(s) Button**

Step	Action
	 ❑ **Click on Browse and** select the document you wish to attach ❑ Click on **Open** ❑ Click on **Done** ❑ Selected document should be displayed in the **Attached Documents grid** ❑ By clicking on Red **X** associated with attached document, the document can be deleted prior to submitting the filing

<table>
<tr><th>Step</th><th>Action</th></tr>
<tr><td>11.</td><td>
To file a Confidential document, click on Attach Confidential Document(s) Button

Click on Browse and select the Confidential Document you wish to attach
Select Document Type and Document Subtype from drop down list
Enter Document Title in multiline text box
Click on Attach Button

Attach Confidential Document(s) pop-up window is displayed



Click on Browse and select the Confidential Document you wish to attach
Click on Browse and select the Redacted Version Document you wish to attach
Associate Protective Order by clicking on the hyperlink
Click on Done Button
Selected document should be displayed in the Attached Documents grid
By clicking on Red X associated with attached document, the document can be deleted prior to submitting

</td></tr>
<tr><td>12.</td><td>

Click on Submit Button

</td></tr>
</table>

Step	Action
13.	Case Filing Confirmation Message displayed ❑ Email Notifications distributed to o Notification List o Active Party List o Assigned MPUC Staff

3.3.3 View/Search

The Search option will allow the users to retrieve information depending upon entered search criteria (“indexed” information); or search by text contained in a document (“Google” search capabilities). Search results will only show information that the user is allowed to see. Public User will only see public documents; External Registered Users will only be able to see public documents unless provided access to confidential documents through issuance of a protective order.

Searching for Case or Document

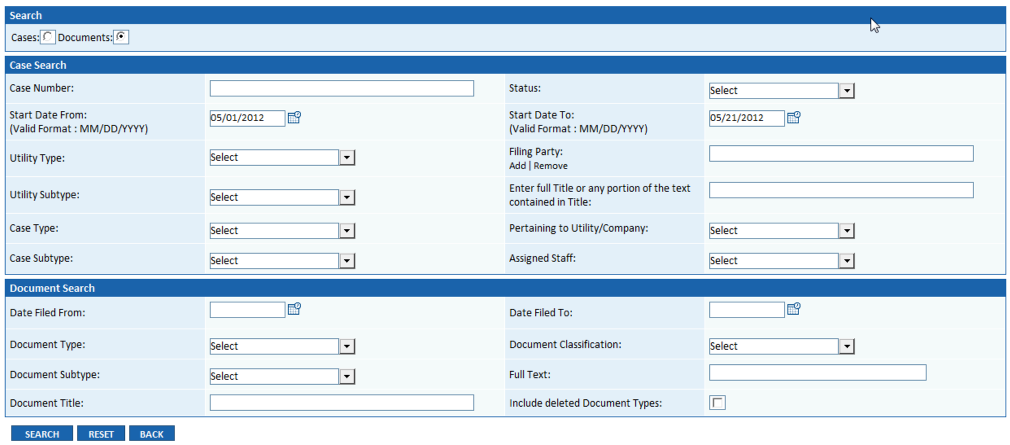
Objective:

- Searching for a Case
- Searching for a Document

Step	Action

1\. From the ***Home* Page**

- Click on **Case File** from the **Access Menu**
- From the **Submenu,** click on **View/Search** to search for a Case or Document

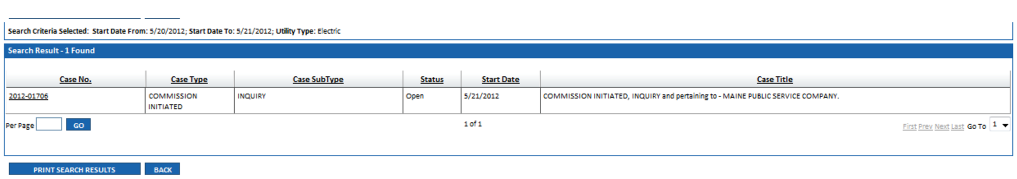


2\.

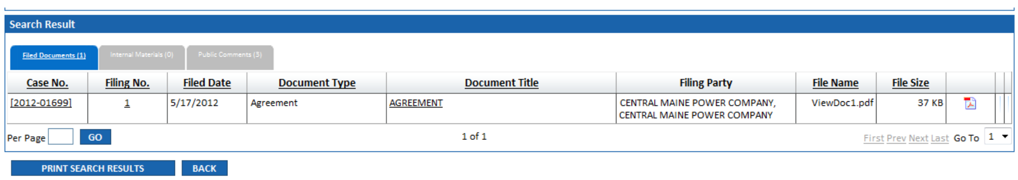
- Select the **Radio Button** before **Cases** or **Document** depending on which you are searching for
- Enter known search criteria
- Click on **Search Button**

3\. **Search Result grid** will be displayed

- Search criteria will be displayed above the grid
- Result grid for **Case Search Result** will display
    - Case No. (with hyperlink to view Case File)
    - Case Type
    - Case Subtype
    - Status
    - Start Date
    - Case Title



- Click on **Case Number hyperlink** to view Case File

	❑ Click on **Print Search Results Button**
4.	**Search Result grid** will be displayed ❑ Search criteria will be displayed above the grid ❑ Tabs will be displayed above the grid for: **Filed Documents, Internal Materials and Public Documents** with prescribed security measures in place o Case No. (with hyperlink to view Case File) o Filing No. (with hyperlink to view filing information) o Document Type o Document Title (with hyperlink to view filed document) o Filing Party o File Name o File Size o Software Type Icon ❑ Result grid for **Document Search Result** will display 

3.4 Comment on Case

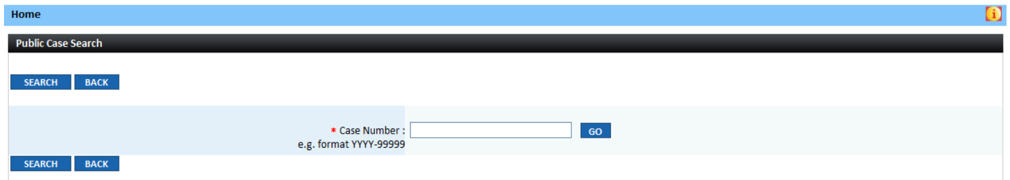
Public Comments module will facilitate the MPUC in receiving the public comments from external users regarding cases before the Commission and to publish the same for internal and external (public) viewing. Public Comments are case-specific, and are generally submitted by users who are not active parties/participants to the case.

Objective:

❖ Submit Public Comment on Case

Step	Action
1.	From the **External Registered User *Home* Page**, click on **Submit a Comment in a Case hyperlink** ❑ Enter valid **Case Number in text box** and click on **GO Button**

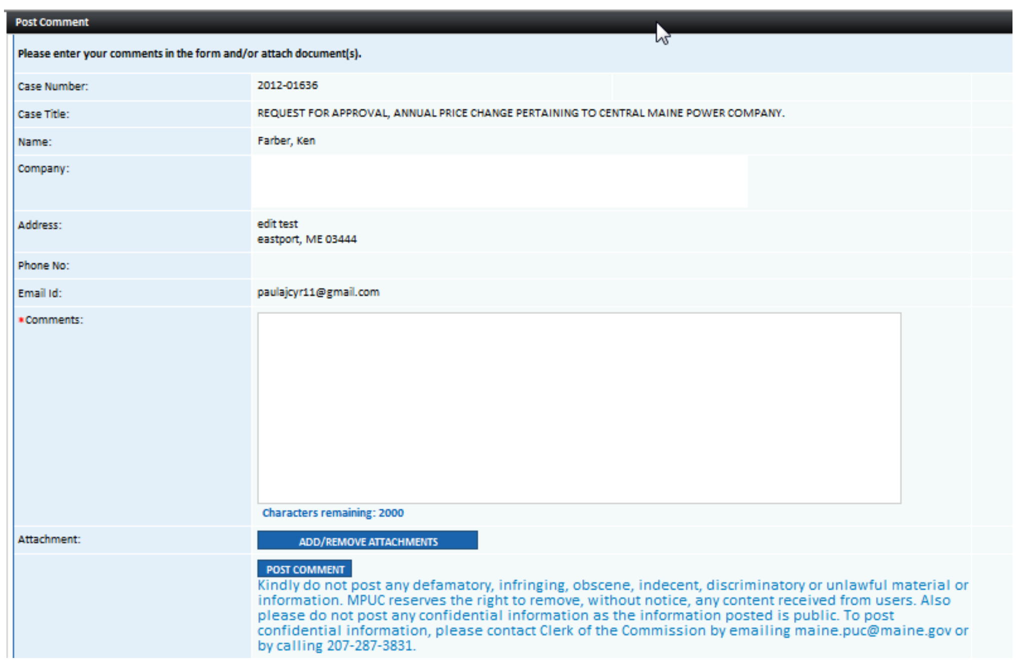
Step	Action



- **Comment form** will be displayed

2. Case Details will be displayed in the top sections of the screen

- Logged in External Registered User's contact information will be system populated
- Enter all required information indicated by a red asterisk **(*)**



3. To append a document, click on **Add/Remove Attachments Button**

Step	Action
4.	❑ Click on **Post Comment Button**
5.	❑ Public Comments will be posted in the Case File Screen under the Public Comments Tab for the specified case.

3.5 Data Requests/Responses

3.5.1 Create/Save/Submit Questions

This Data Request Question and Response staging area provides the ability for Internal and External Registered Users to create and save draft DR Questions and Responses. They can also be submitted from the staging area.

Confidential DR Question or DR Response attachments must be associated with protective order existing in Case filing with the same security and functionally as is in place for case filings.

Objective:

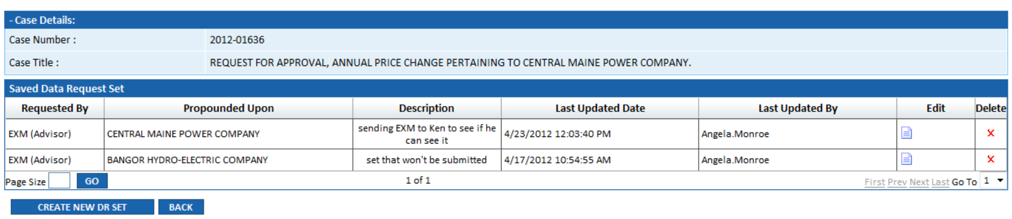
- Manage Data Request Questions

Step	Action
1.	From the ***Home* Page** → Click on **Data Requests/Responses** → **Create/Save/Submit Questions** on the access menu list
2.	**Case Search** will be displayed ❑ Enter **Case Number** in **Text Box** ❑ Click on **GO Button** to display specified **Case File.** **- OR -** If user does not know case number: ❑ Click on **Search Button**, enter known search criteria ❑ Click on **Search Button** ❑ Search result will display all cases matching entered parameters ❑ Click on **Case Number hyperlink** to be navigated to the **Case File**

<table>
<tr><th>Step</th><th>Action</th></tr>
<tr><td></td><td>Screen for the specified case.</td></tr>
<tr><td>3.</td><td>

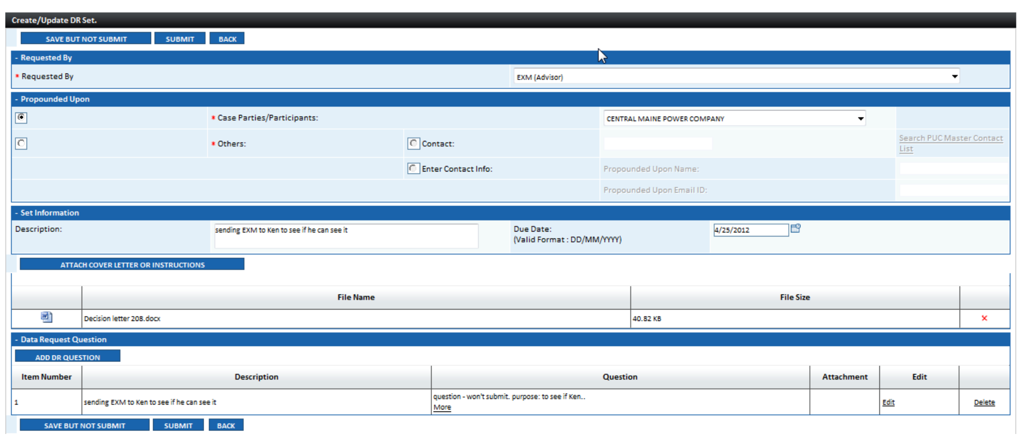
Draft DR Sets Screen will be displayed with the following

- Case Details
- Requested By
- Propounded Upon
- Description
- Last Updated Date
- Last Updated By
- Edit icon
- **Red X** to Delete questions without submitting
- **Create New DR Set and Back Buttons**

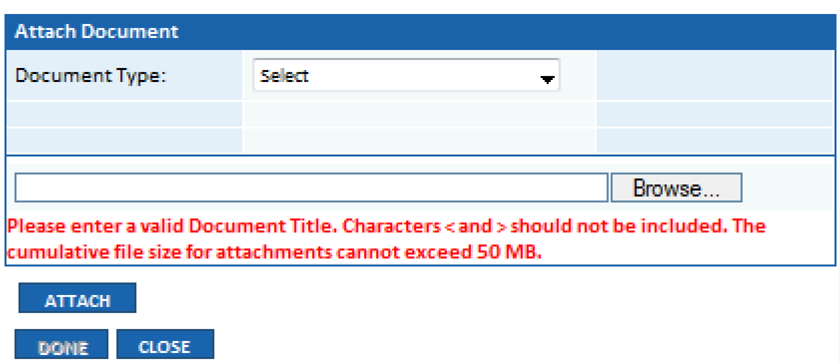


</td></tr>
<tr><td>4.</td><td>

Create/Update DR Sets Screen will be displayed

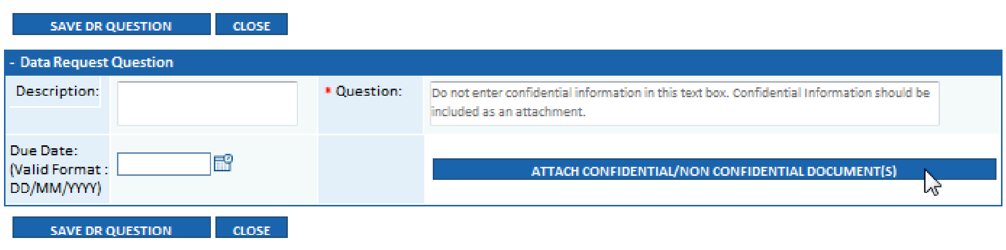


</td></tr>
</table>

Step	Action
5.	Four sections will be displayed on the screen ❑ **Requested By Section** o Select Requested By from drop down list ❑ **Propounded By Section** o To select Case/Parties/Participants, select **Radio Button** to enable drop down list which displays Case Parties/ Participants **Or** o **Radio Button** to enable Others Radio Buttons ▪ If **Contact Radio Button** is selected user will click on Search PUC Master Contact List hyperlink to search for and add contact ▪ If **Enter Contact Info Radio Button** is selected user will enter contact in text box
6.	❑ **Set Information Section** o Enter **Description** in text box o Enter **Due Date**, if applicable o Click on **Attach Cover Letter or Instructions Button** to include, if applicable 

<table>
<tr><th>Step</th><th>Action</th></tr>
<tr><td>7.</td><td>

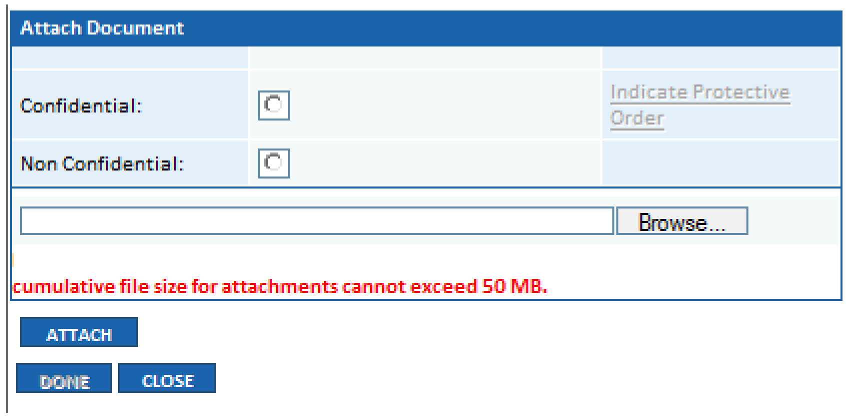
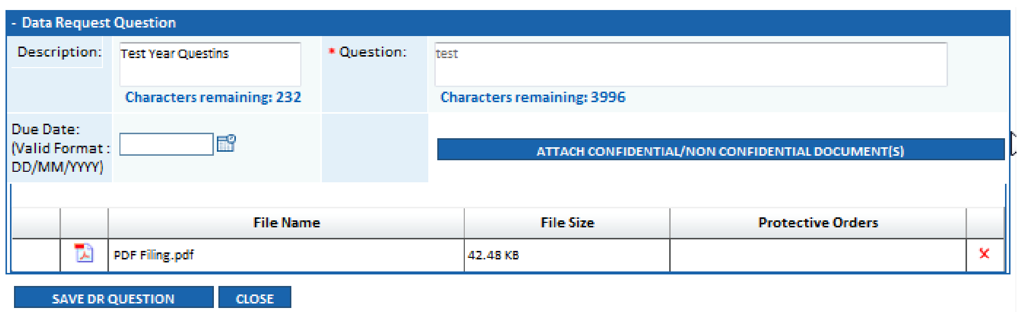
- **Data Request Section**
  - Click on **Add DR Question Button**
  - Set Information Description will be pre-populated in description text box
  - Enter Questions in text box
  - **Add Due Date**, if applicable
  -



</td></tr>
<tr><td>8.</td><td>

- User can include an attachment by clicking on Click on **Attach Confidential/Non-Confidential Information Button**
  - If attachment is **Confidential**, select **Radio Button**, click on **Indicate Protective Order hyperlink** to associate confidential attachment with respective Protective Order
  - If attaching is non-confidential, select **Radio Button**
  - Click on **Browse Button** to select document (public or confidential) from computer files
  - Click on **Attach Button**

</td></tr>
</table>

Step	Action
9.	When all attachments have been appended, click on **Done Button** 
10.	❑ User will click on **Save DR Question Button** ❑ If wrong questions has been attached, click on Red **X** to delete  ❑ User will be able to either click on ○ **Save but not Submit Button** ○ **Submit Button** ○ **Back Button** to be navigated to previous screen ❑ On Submit a message will be displayed: ○ e.g., Data Request Set EXM-018 with 2 question(s) submitted

Step	Action
11.	❑ To submit a previously saved DR Question, click on **Edit Icon** ❑ **Create/Update DR Sets Screen** will be displayed ❑ Click on **Submit Button** ❑ On Submit a message will be displayed: ○ e.g., Data Request Set EXM-019 with 2 question(s) submitted

3.5.2 Create/Save/Submit Responses

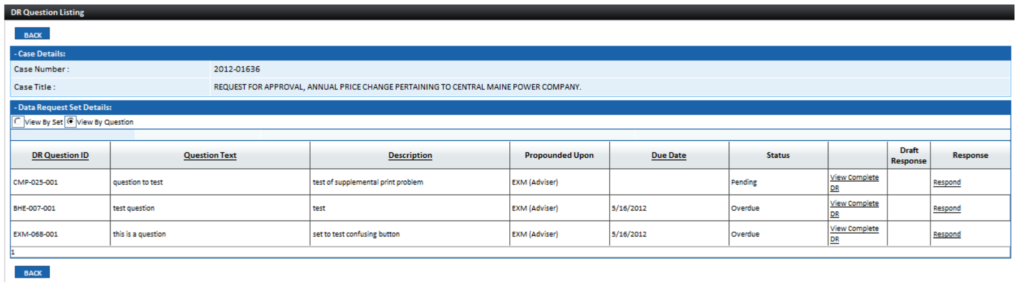
Objective:

- Manage Data Request Responses

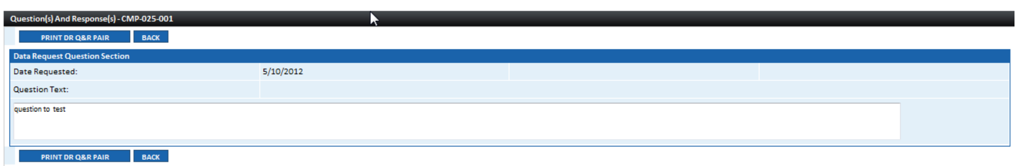
Step	Action
1.	From the ***Home* Page** → Click on **Data Requests/Responses** → **Create/Save/Submit Response** on the access menu list
2.	**Case Search** will be displayed ❑ Enter **Case Number** in **Text Box** ❑ Click on **GO Button** to display specified **Case File.** **- OR -** If user does not know case number: ❑ Click on **Search Button**, enter known search criteria ❑ Click on **Search Button** ❑ Search result will display all cases matching entered parameters ❑ Click on **Case Number hyperlink** to be navigated to the **Case File Screen** for the specified case.

<table>
<tr><th>Step</th><th>Action</th></tr>
<tr><td>3.</td><td>

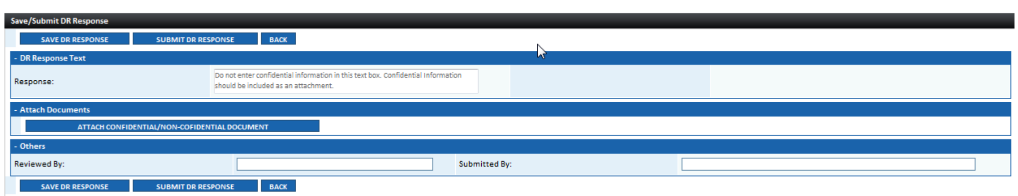
DR Question Listing will be displayed with the following



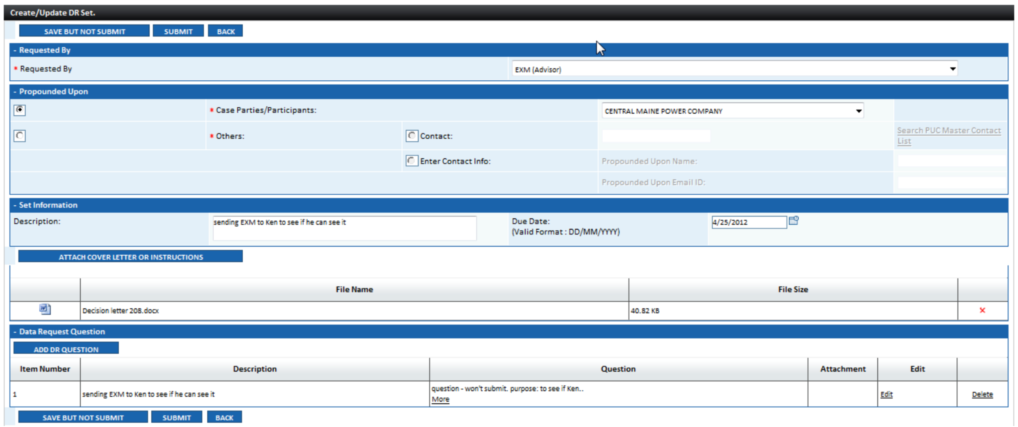
- DR Question ID
- Question Text
- Description
- Propounded Upon
- Due Date
- Status
- View Complete DR hyperlink



- Draft Response (Red check mark if drafted)
- **Respond hyperlink**



</td></tr>
</table>

Step	Action
4.	**Enter DR Response Screen** will be displayed 
5.	❑ Enter Data Request Response Information ❑ User can include an attachment by clicking on Click on **Attach Confidential/Non-Confidential Information Button** ❑ See **Steps 8,9 and 10 for Attachment Details**

3.5.3 View/Search DRs

Authorized Users will be able to Search/View Data Request Questions and Responses with security measures in place.

Searching /Viewing of Confidential DR Question or DR Response attachments will be controlled by Protective Orders.

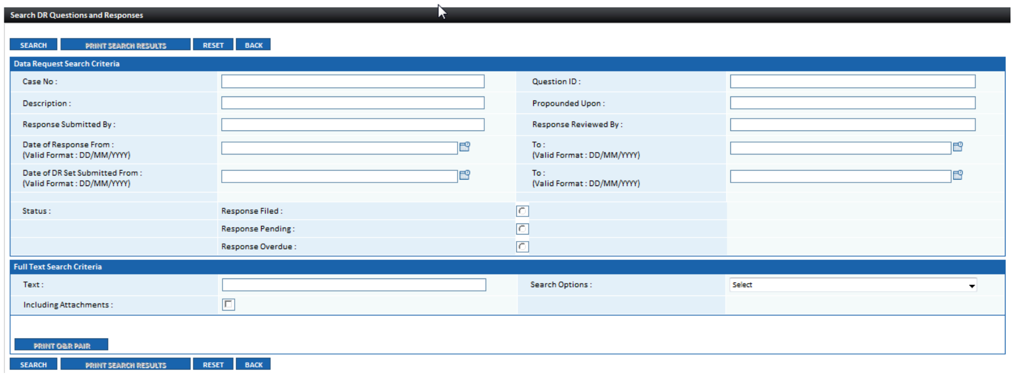
Objective:

❖ Search and View

Step	Action
1.	From the ***Home* Page →** Click on **Data Requests/Responses → View/Search** on the access menu list
2.	**Search DR Questions and Responses Screen** ❑ Enter known search criteria and click on **Search Button**

<table>
<tr><th>Step</th><th>Action</th></tr>
<tr><td></td><td>

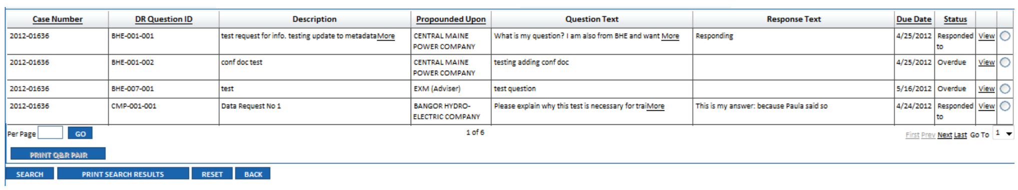
- User will also be able to Full Text Search Questions, Responses and Attachments



</td></tr>
<tr><td>3.</td><td>

Search Results will be displayed in a grid at the bottom of the screen

- Click on View to display contents of item in grid
- Following functionality is available:
    - Print Q & R Pair Button
    - Print Search Results Button



</td></tr>
</table>

3.6 Manage Favorites

External Registered Users will be able to customize their Home Page with personalized, easy to access search results. These favorites can be added, updated and deleted as needed by the logged in user.

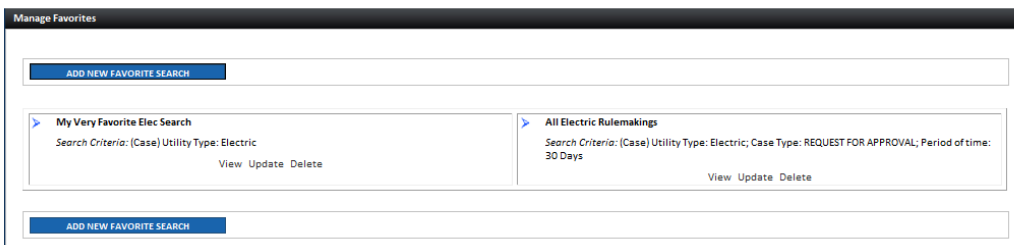
Objective:

❖ Manage Favorites

<table>
<tr><th>Step</th><th>Action</th></tr>
<tr><td>1.</td><td>From the Home Page →, Click on Manage Favorites on the access menu list

❑ Manage Favorites Screen will be displayed listing all of the logged in External Registered User’s favorites. Grid will list the following

○ Favorite Title
○ Search criteria
○ View hyperlink to view search results
○ Update hyperlink to modify existing search criteria
○ Delete hyperlink to remove favorite from list


</td></tr>
</table>

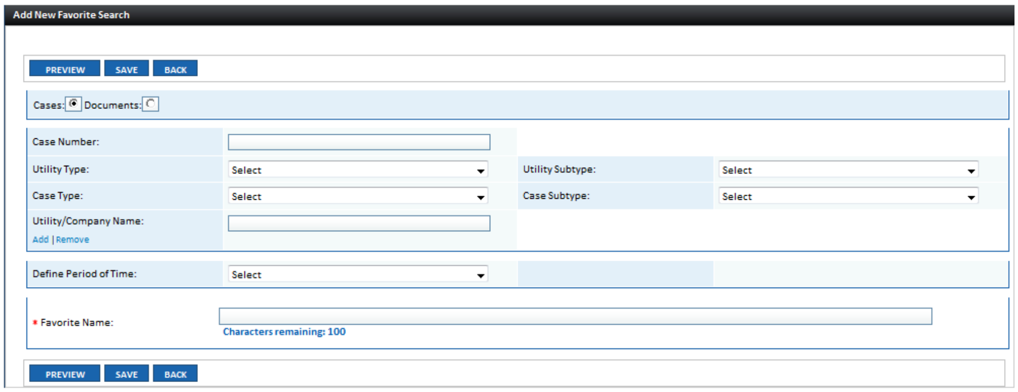
3.6.1 Add New Favorites

Objective:

❖ Add New Favorites

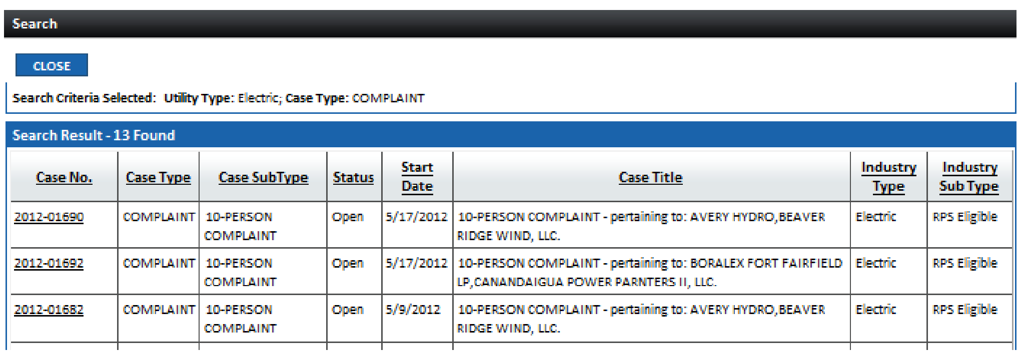
<table>
<tr><th>Step</th><th>Action</th></tr>
<tr><td>1.</td><td>
From the Manage Favorites Screen

- Click on **Add New Favorites Search Button**
- Enter know search criteria and click on **Preview Button**



</td></tr>
<tr><td>2.</td><td>

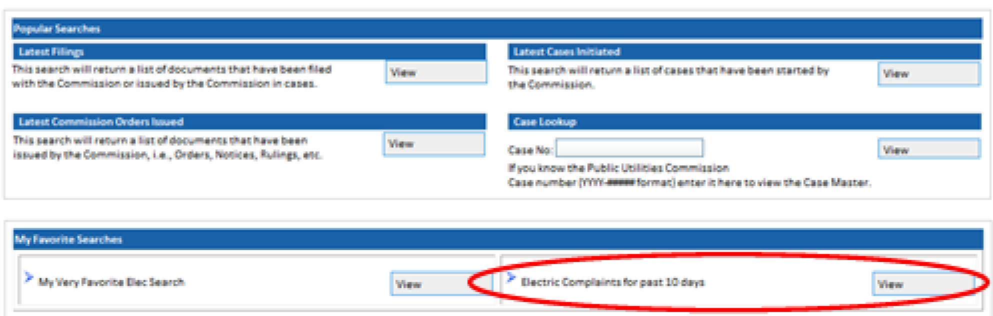
- **Pop-up window** will display an example of the search result.



- Click **Close Button** to close pop-up window
</td></tr>
</table>

<table>
<tr><th>Step</th><th>Action</th></tr>
<tr><td>3.</td><td>
If user is satisfied with result, continue with the following steps

- Determine timeline for report generation. Do you want to see results for the past 5 days, 10 days or 30 days? Select choice from **Define Period of Time** drop down list
- Enter **Favorite Name** in textbox
- Click on **Save Button**
- **Confirmation Message** will be displayed
- Click on **Home Icon**  at the top right-hand corner of the screen to be navigated to the **Home Page**.
- **New Favorite** will be posted on the **Home Page → My Favorite Searches Section**



</td></tr>
</table>

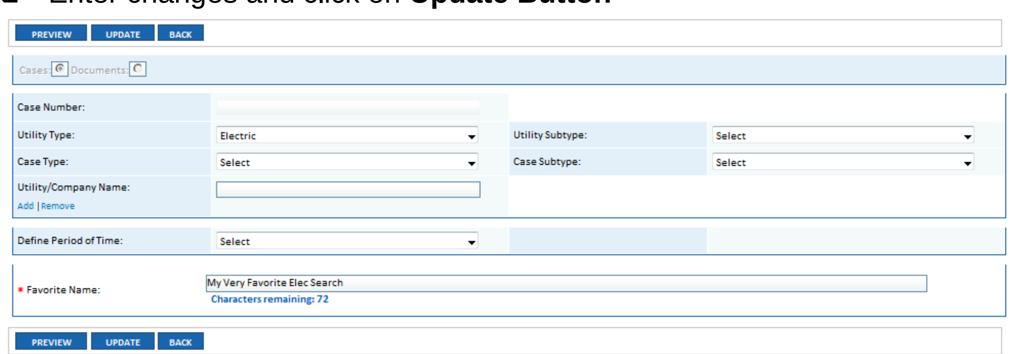
3.6.2 Update Favorites

Objective:

- Update Favorites

<table>
<tr><th>Step</th><th>Action</th></tr>
<tr><td>1.</td><td>
From the Manage Favorites Screen

- Click on **Update hyperlink** for one of the displayed favorites
- Details will be displayed in editable format.
- Enter changes and click on **Update Button**



</td></tr>
</table>

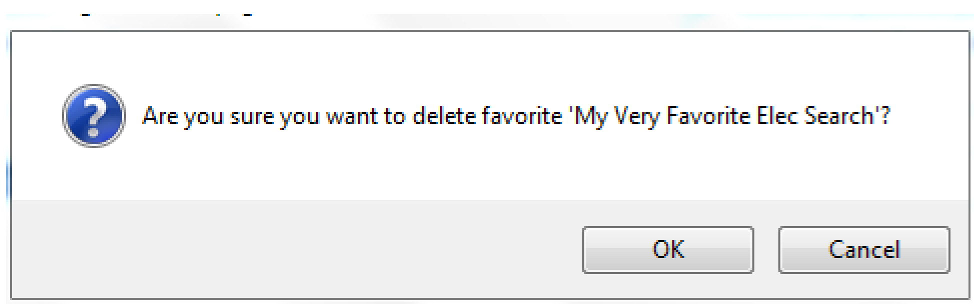
3.6.3 Delete Favorites

Objective:

- Delete Favorites

<table>
<tr><th>Step</th><th>Action</th></tr>
<tr><td>1.</td><td>
From the Manage Favorites Screen

- Click on **Delete hyperlink** for one of the displayed favorites
- Click **OK Button** to Delete; otherwise, click **Cancel Button**



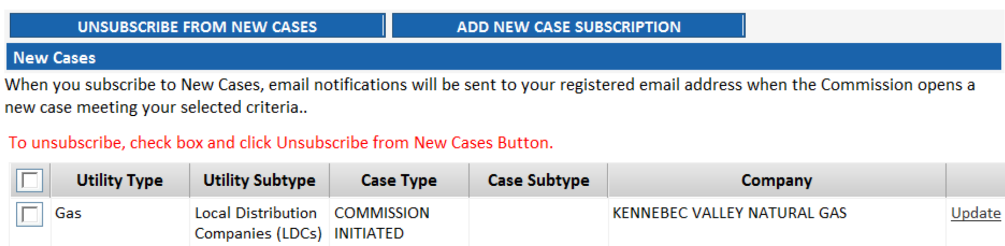
</td></tr>
</table>

3.7 Manage Subscription

External Registered Users will be able to Manage Subscriptions to New Cases and Notification Lists for Cases before the Commission. Subscriptions can be added, updated and removed as needed by the logged in user.

Objective:

❖ Manage Subscriptions

Step	Action
1.	From the ***Home* Page→**, Click on **Manage Subscriptions** on the access menu list. **Manage Subscriptions Screen** will be displayed with two sections **New Cases Section** with the following ❑ **Statement is posted above the grid which reads:** When you subscribe to New Cases, email notifications will be sent to your registered email address when the Commission opens a new case meeting your selected criteria. 
2.	Grid includes the following ❑ Checkbox – when selected user can click on Unsubscribe from New Case Button to cease getting an email notification for New Case specified by subscription ❑ Utility Type ❑ Utility Subtype ❑ Case Type ❑ Case Subtype ❑ Company ❑ **Update hyperlink**
3.	**Notification Lists Section** ❑ **Statement is posted above the grid which reads**:

Step	Action
	** To be included on a Notification List is not the same as requesting Active Party Status. The standards for Active Party Status are set forth in Rule 4.3(c) of the Commission's Rules of Procedure. When you subscribe to a Notification List for a case, an email notification will be sent to you when a filing or Commission issuance is entered in the case. Subscribers can receive various types of documents, i.e., Commission Issuances (usually Orders), Filings, and/or Data Requests.
4.	Grid will contain the following ❑ Checkbox – To unsubscribe, select checkbox and click Unsubscribe from Notification Lists Button ❑ Case Number ❑ Case Title ❑ Commission Issuances Only ❑ Filings Only ❑ Data Requests Only ❑ Company ❑ **Update hyperlink**

3.7.1 Add New Case Subscription

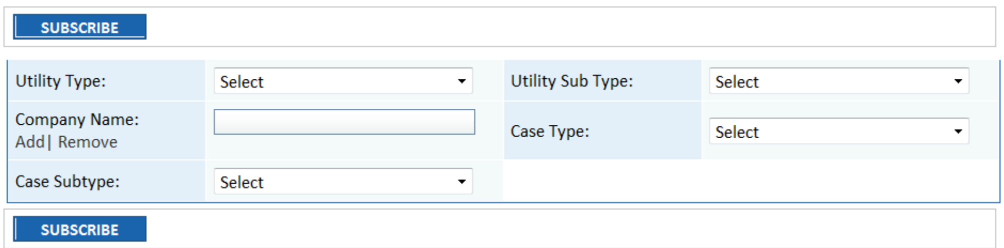
Objective:

❖ Add New Case Subscription

<table>
<tr><th>Step</th><th>Action</th></tr>
<tr><td>1.</td><td>
From the Manage Subscriptions Screen

❑ Click on Subscribe to New Case Button

❑ Enter criteria for subscription and click on Subscribe Button



</td></tr>
</table>

3.7.2 Update New Case Subscriptions

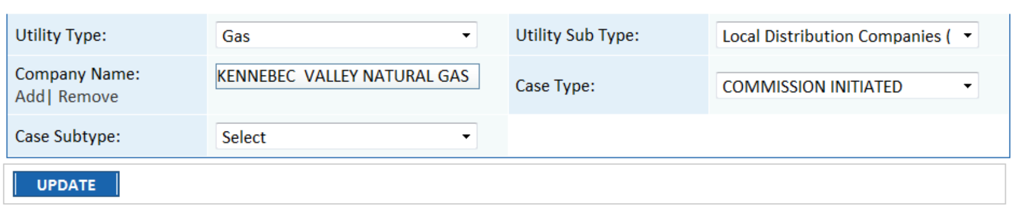
Objective:

❖ Update New Case Subscriptions

<table>
<tr><th>Step</th><th>Action</th></tr>
<tr><td>1.</td><td>
From the Manage Subscriptions Screen

❑ Click on Update hyperlink to edit New Case Subscription details

❑ Click Update Button to save changes



</td></tr>
</table>

3.7.3 Unsubscribe from New Cases

Objective:

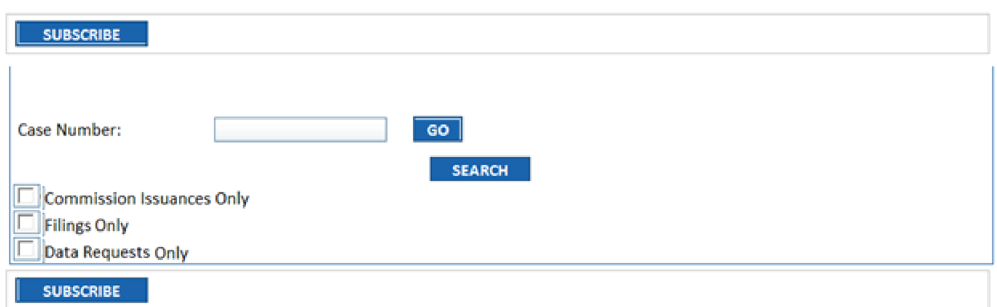
❖ Unsubscribe from New Cases

Step	Action
1.	From the **Manage Subscription Screen** ❑ Select **Checkbox** for the New Case you want to discontinue ❑ Click on **Unsubscribe from New Cases Button** ❑ **Subscription will be removed from grid**

3.7.4 Add Case Notification List Subscription

Objective:

❖ Add Case Notification List Subscription

Step	Action
1.	From the **Manage Subscriptions Screen** ❑ Click on **Subscribe to Case Notification List Button** ❑ Enter Case Number and click **GO Button** – Case Title will be displayed on Subscribe Screen Case Title: REQUEST FOR APPROVAL, ANNUAL PRICE CHANGE PERTAINING TO CENTRAL MAINE POWER COMPANY. ❑ Select applicable **Checkboxes** for subscription ○ Commission Issuances Only ○ Filings Only ○ Data Requests Only  ❑ Click on **Subscribe Button** to save

3.7.5 Update Case Notification List Subscription

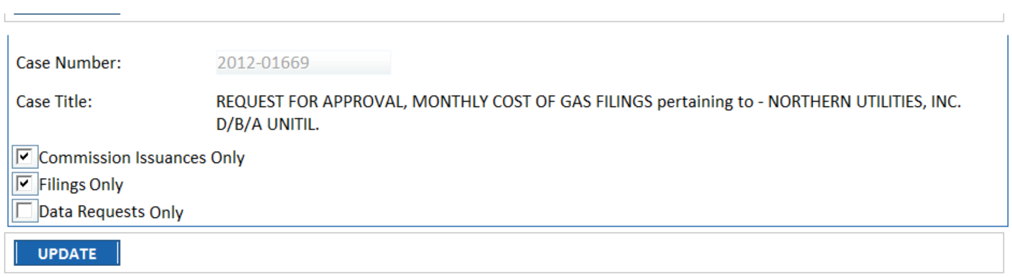
Objective:

- Update Case Notification List Subscription

<table>
<tr><th>Step</th><th>Action</th></tr>
<tr><td>1.</td><td>

From the **Manage Subscriptions Screen**

- Click on **Update hyperlink** for one of the displayed subscriptions
- Details will be displayed in editable format. Enter changes and click on **Update Button**



</td></tr>
</table>

3.7.6 Unsubscribe from Case Notification List

Objective:

- Unsubscribe from Case Notification List

<table>
<tr><th>Step</th><th>Action</th></tr>
<tr><td>1.</td><td>

From the **Manage Subscription Screen**

- Select **Checkbox** for the subscription you want to discontinue
- Click on **Unsubscribe from Notification List Button**
- Subscription will be removed from grid

</td></tr>
</table>

3.8 Project/Report Files

Reports/Projects are a collection of documents that are stored in the CMS application as a matter of convenience. Reports/Projects will be submitted and monitored in the application based on tracking numbers and report/project types. The Report/Project related submissions will include the set of activities for filing the reports/projects online.

The security status of the Reports/Projects Types will be predetermined and flagged as either public or confidential by the Clerk of the Commission as well as assigned Staff.

3.8.1 Submit Project/Report

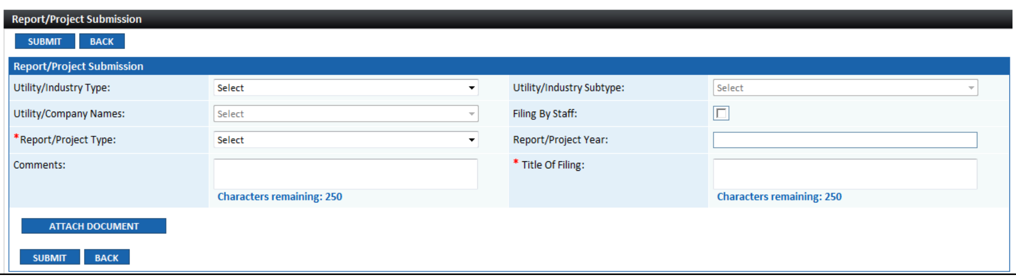
❖ Submit Project/Report

<table>
<tr><th>Step</th><th>Action</th></tr>
<tr><td>1.</td><td>From the Home Page

❑ Click on Project/Report Files from the Access Menu

❑ From the Submenu, click on Submit Project/Report</td></tr>
<tr><td>2.</td><td>❑ Enter Required Information and click on Attach Document Button to attach document

❑ Click on Submit Button


</td></tr>
<tr><td>3.</td><td>On Submit the following will occur

❑ Tracking number will be generated (format LLLL-YYYY-#####, where LLLL is the unique 4-digit code designated for the Report/Project Type).

❑ Email notifications of project/report filing will be sent to Assigned Staff and Clerk of the Commission per workflow business rules

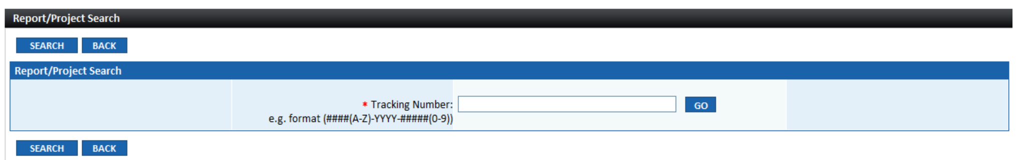
❑ Submission will be available on the Public and External Registered User websites unless the Report/Project has been flagged as confidential by the Clerk of the Commission.

❑ If flagged as confidential, the submission will only be available for viewing by the submitter, the Commissioners, Clerk of the Commission and the staff assigned to the Report/Project</td></tr>
</table>

3.8.2 Supplement Project/Report

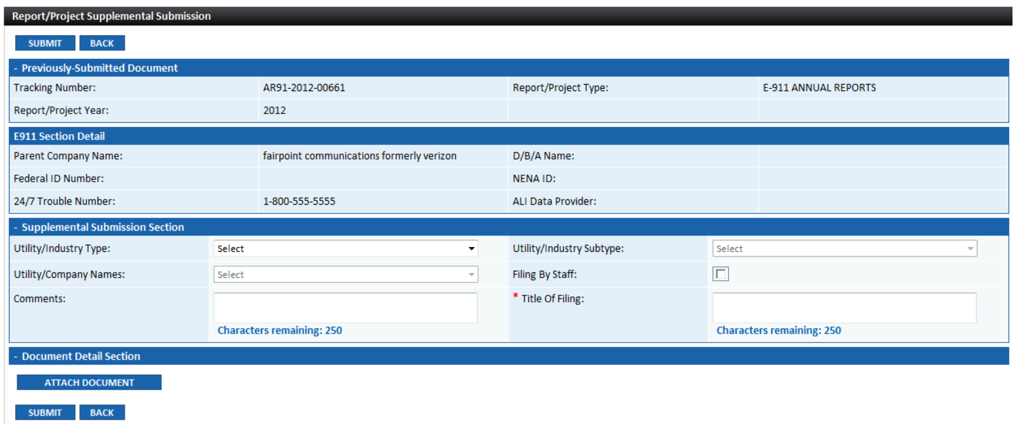
Objective:

- Supplement Project/Report

Step	Action
1.	From the ***Home* Page** - Click on **Project/Report Files** from the **Access Menu** - From the **Submenu**, click on **Supplement Project/Report**
2.	- Enter **Tracking Number** in the **Project/Report Search Screen**  - Click on **GO Button** **- OR -** If user does not know tracking number: - Click on **Search Button**, enter known search criteria - Click on **Search Button** - Search result will display all Projects/Reports matching entered parameters - Note **Tracking Number** and go the **Step 1** to continue

3.

- **Project/Report Supplemental Submission Screen** will display
  - Tracking Number, Report/Project Type and Report/Project Year
  - Report/Project details will be displayed in next section
- **Enter Required Information** in the **Supplemental Submission Section**



- Click on **Attach Document Button** to attach document
- Click on **Submit Button**

4.

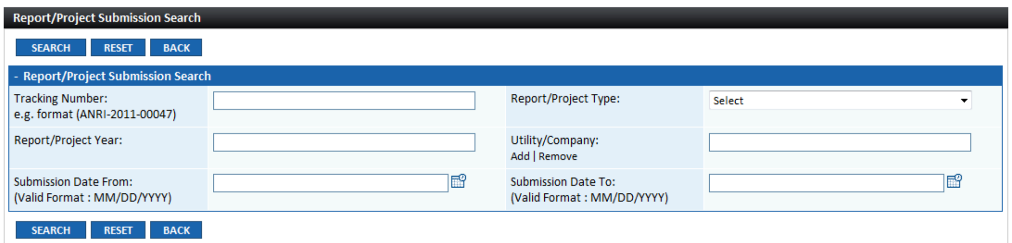
On Submit the following will occur

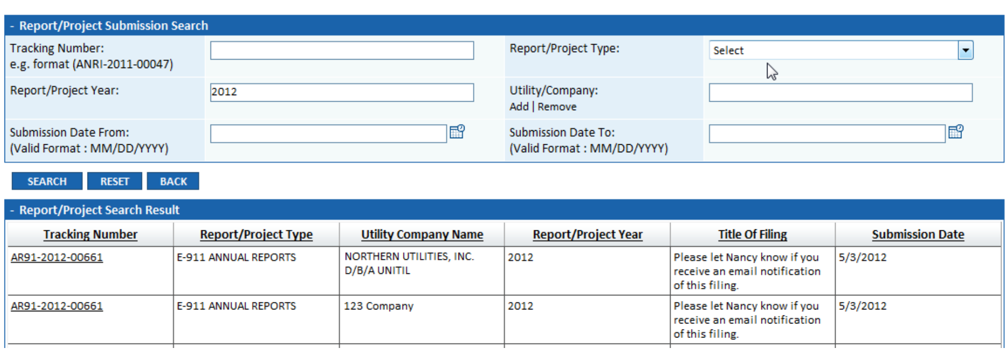
- Submission will be appended to the existing Project/Report file.
- Email notifications of project/report filing will be sent to Assigned Staff and Clerk of the Commission per workflow business rules
- Submission will be available on the Public and External Registered User websites unless the Report/Project has been flagged as confidential by the Clerk of the Commission.
- If flagged as confidential, the submission will only be available for viewing by the submitter, the Commissioners, Clerk of the Commission and the staff assigned to the Report/Project

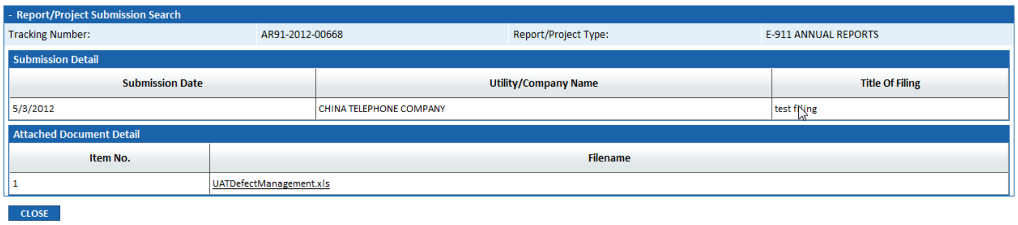
3.8.3 View/Search

Objective:

- View Search Project/Report

<table>
<tr><th>Step</th><th>Action</th></tr>
<tr><td>1.</td><td>From the Home Page
❑ Click on Project/Report Files from the Access Menu
❑ From the Submenu, click on View/Search</td></tr>
<tr><td>2.</td><td>Report/Project Submission Search Screen will be displayed


❑ Enter known search criteria and click on Click on Search Button</td></tr>
<tr><td>3.</td><td>❑ Search Result grid will be displayed at the bottom of the screen
○ Tracking Number
○ Report/Project Type
○ Utility Company Name
○ Report/Project Year
○ Title of Filing
○ Submission Date

</td></tr>
</table>

4.	❑ Clicking on **Tracking Number hyperlink** will display ○ Submission details ○ Attached Document(s) details ○ Click on **File Name hyperlink** to view attachment 

3.9 Tariff File

Submitter should be able to establish a New Tariff Book, submit New Rate/Term in an Existing Book, and submit Revision to Rate/Term, Submit Complete Set of Rates/Terms and View Tariff.

3.9.1 Revise Tariff

Objective:

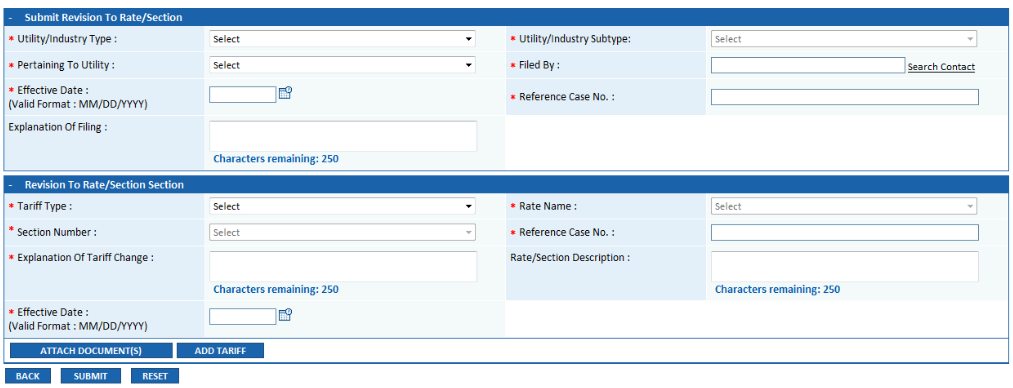
❖ Submit Tariff Revision

<table>
<tr><th>Step</th><th>Action</th></tr>
<tr><td>1.</td><td>

- From the **Home Page**
- Click on **Tariff File** from the **Access Menu**
- From the **Submenu**, click on **Revise Tariff**

</td></tr>
<tr><td>2.</td><td>

- **Submit Revision To Rate/Section Screen** will be displayed



</td></tr>
</table>

3.	User will be required to provide data in required (*) fields in the following sections: **Submit Revision To Rate/Section** ○ Utility/Industry Type (drop down list) ○ Utility/Industry Subtype (drop down list) ○ Pertaining to Utility (drop down list) ○ Filed By (with lookup for Search Contact hyperlink) ○ Effective Date (with calendar icon) ○ Reference Case Number ○ Explanation of Filing (multiline text box) **Revision to Rate/Section** ○ Tariff Type (drop down list) ○ Rate Name (Drop Down) (When Tariff Type is Rate ; Section Number disabled and vice versa) ○ Section Number (Drop Down) ○ Reference Case No. (text box) ○ Explanation of Tariff Change ○ Rate/Section Description ○ Effective Date (with calendar icon) ○ To include tariff document, click on **Attach Document(s) Button** ○ **Click on Add Tariff Button** (after attaching Rate Tariff user can click on button to append additional section for the Tariff) ○ **Back, Submit and Reset Buttons**

4.	❑ When External Register User logs into the application, the system should be able to identify which company (is) they should be able to submit tariff filings on behalf of ❑ On the selection of the Utility/Industry Company, if Type is “Rate,” the Rate drop down list should be auto populated with the rates available in the tariff book for the selected Company ❑ If Type is “Term,” the Section drop down list should be auto populated with the Section(s) available in the tariff book for the selected Company ❑ User will be able to add more than one attachment(s) when filing a Revision to Rate/Section in Existing Book ❑ Filer will be required to submit tariff attachment as a PDF (Image on Text) document.
5.	❑ On successful submit, a Tariff confirmation message will be displayed ❑ Tariff Tracking Number will be generated (format TAR-YYYY-####, where LLL is the unique 3-digit code designated for Tariff Submissions) ❑ Tariff submission will be routed to the Inbox → Tariff Queue of the Clerk of the Commission for processing ❑ Email notification confirming receipt of successful tariff submission will be sent to the Clerk of the Commission and the Submitter of the tariff

3.9.2 Submit Complete Set of Rates/Terms

Objective:

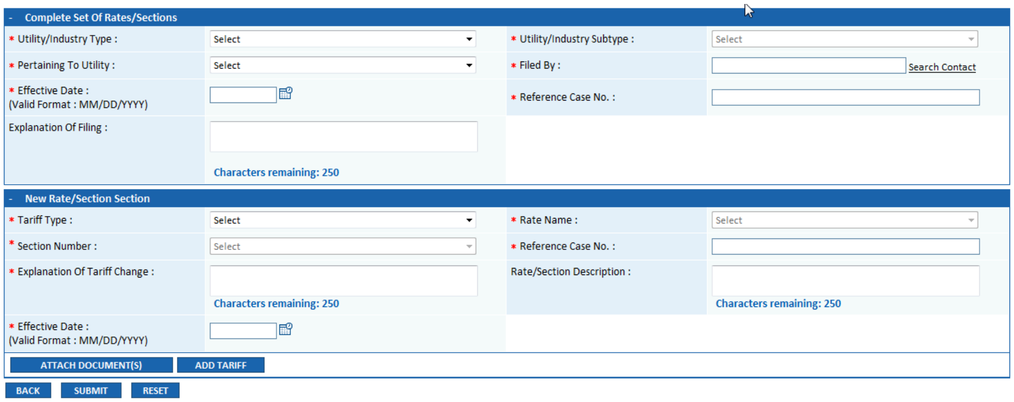
❖ Submit Complete Set of Rates/Terms

<table>
<tr><th>Step</th><th>Action</th></tr>
<tr><td>1.</td><td>

- From the **Home Page**
- Click on **Tariff File** from the **Access Menu**
- From the **Submenu**, click on **Submit Complete Set of Rates/Terms**

</td></tr>
<tr><td>2.</td><td>

- **Submit Complete Set of Rates/Terms** will be displayed



</td></tr>
</table>

3.	User will be required to provide data in required (*) fields in the following sections: **Complete Set of Rates/Sections** o Utility/Industry Type (drop down list) o Utility/Industry Subtype (drop down list) o Pertaining to Utility (drop down list) o Filed By (with lookup for Search Contact hyperlink) o Effective Date (with calendar icon) o Reference Case Number o Explanation of Filing (multiline text box) **New to Rate/Section** o Tariff Type (drop down list) o Rate Name (Drop Down) (when Tariff Type is Rate ; Section Number disabled and vice versa) o Section Number (Drop Down) o Reference Case No. (text box) o Explanation of Tariff Change o Rate/Section Description o Effective Date (with calendar icon) o To include tariff document, click on **Attach Document(s) Button** o Click on **Add Tariff Button** (after attaching Rate Tariff user can click on button to append additional section for the Tariff) o **Click on Submit Button** o **Back, Submit and Reset Buttons**

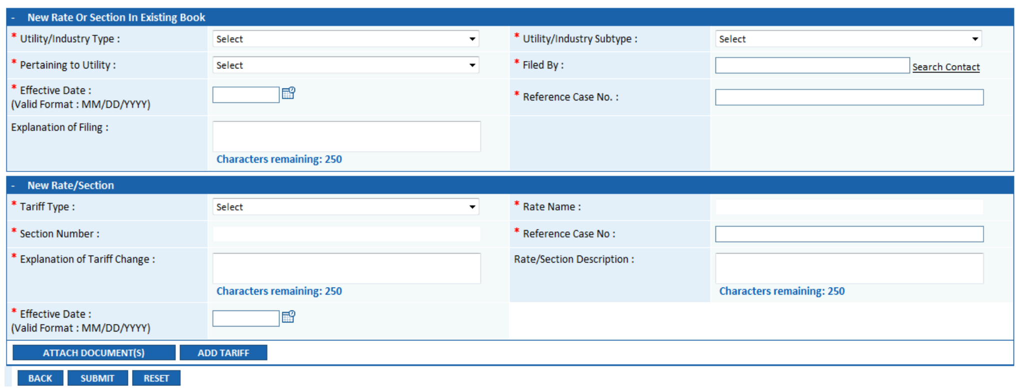
4.	- When External Register User logs into the application, the system should be able to identify which company (is) they should be able to submit tariff filings on behalf of - Submitter should be required to select Tariff Type: Rate or Term from mandatory drop down list. - Filer will be required to submit tariff attachment as a PDF (Image on Text) document.
5.	- On successful submit, a Tariff confirmation message will be displayed - Tariff Tracking Number will be generated (format TAR-YYYY-####, where LLL is the unique 3-digit code designated for Tariff Submissions) - Tariff submission will be routed to the **Inbox → Tariff Queue of the Clerk of the Commission** for processing - Email notification confirming receipt of successful tariff submission will be sent to the Clerk of the Commission and the Submitter of the tariff

3.9.3 Submit New Rates/Terms

Objective:

❖ Submit New Rate or Section in Existing Tariff Book

<table>
<tr><th>Step</th><th>Action</th></tr>
<tr><td>1.</td><td>❑ From the Home Page
❑ Click on Tariff File from the Access Menu
❑ From the Submenu, click on Submit New Rate/Term</td></tr>
<tr><td>2.</td><td>❑ New Rate or Section in Existing Book Screen will be displayed



</td></tr>
</table>

3.	User will be required to provide data in required (*) fields in the following sections: **New Rate or Section in Existing Tariff Book** ○ Utility/Industry Type (drop down list) ○ Utility/Industry Subtype (drop down list) ○ Pertaining to Utility (drop down list) ○ Filed By (with lookup for Search Contact hyperlink) ○ Effective Date (with calendar icon) ○ Reference Case Number ○ Explanation of Filing (multiline text box) **New Rate/Section** ○ Tariff Type (drop down list) ○ Rate Name (text box) (When Tariff Type is Rate ; Section Number disabled and vice versa) ○ Section Number (text box) ○ Reference Case No. (text box) ○ Explanation of Tariff Change ○ Rate/Section Description ○ Effective Date (with calendar icon) ○ To include Tariff document, click on **Attach Document(s) Button** ○ Click on **Add Tariff Button** (after attaching Rate Tariff user can click on button to append additional section for the Tariff) ○ Click on **Submit Button** ○ **Back, Submit and Reset Buttons**

4.	❑ Entry of each Rate/Section should be unique combination of tariff type and rate/section. User will be able add only one tariff for the same combination of Tariff Type/Rate/Section values. ❑ On unsuccessful submission, submitter will receive a message that validation failed and the submission will not be submitted in the system. ❑ Tariff submission will not be routed to the Clerk of Commission's Tariff Queue.
5.	❑ On successful submit, a Tariff confirmation message will be displayed ❑ Tariff Tracking Number will be generated (format TAR-YYYY-####, where LLL is the unique 3-digit code designated for Tariff Submissions) ❑ Tariff submission will be routed to the Inbox → Tariff Queue of the Clerk of the Commission for processing ❑ Email notification confirming receipt of successful tariff submission will be sent to the Clerk of the Commission and the Submitter of the tariff

3.9.4 Submit New Tariff Book

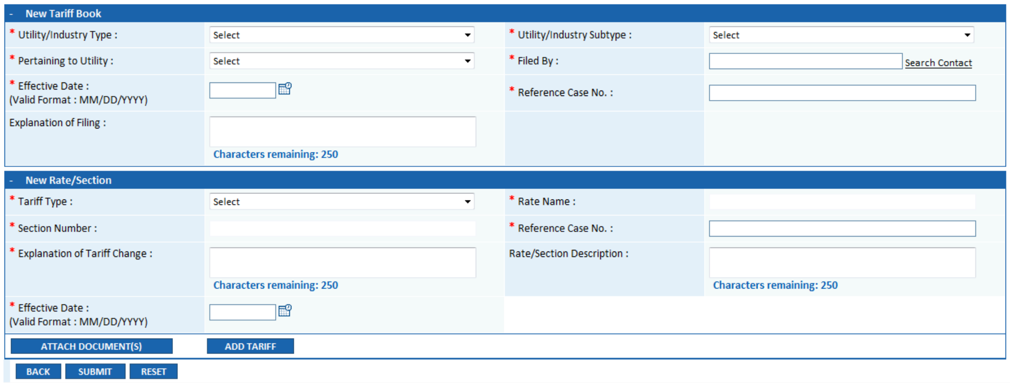
Objective:

❖ Submit New Tariff Book

Step	Action
1.	❑ From the **Home Page** ❑ Click on **Tariff File** from the **Access Menu** ❑ From the **Submenu**, click on **Submit New Tariff Book**

<table>
<tr>
<td>2.</td>
<td>

❑ **Establish New Tariff Book Screen** will be displayed



</td>
</tr>
</table>

3.	User will be required to provide data in required (*) fields in the following sections: **New Tariff Book** ○ Utility/Industry Type (drop down list) ○ Utility/Industry Subtype (drop down list) ○ Pertaining to Utility (drop down list) ○ Filed By (with lookup for Search Contact hyperlink) ○ Effective Date (with calendar icon) ○ Reference Case Number ○ Explanation of Filing (multiline text box) **New Rate/Section** ○ Tariff Type (drop down list) ○ Rate Name (text box) (When Tariff Type is Rate ; Section Number disabled and vice versa) ○ Section Number (text box) ○ Reference Case No. (text box) ○ Explanation of Tariff Change ○ Rate/Section Description ○ Effective Date (with calendar icon) ○ To include tariff document, click on **Attach Document(s) Button** ○ Click on **Add Tariff Button** (after attaching Rate Tariff user can click on button to append additional section for the Tariff) ○ Click on **Submit Button** ○ **Back, Submit and Reset Buttons** are displayed on the bottom of the screen

4.	❑ If user attempts to submit a tariff book which already exists, a message will be displayed to the Submitter ❑ "Tariff Book has already been established for the selected Utility Company. To make revision in existing book or add new Rate/Section, please select the appropriate Tariff Revision Screens." ❑ Filer will be required to submit tariff attachment as a PDF (Image on Text) document.
5.	❑ On submit, a Tariff confirmation message will be displayed ❑ Tariff Tracking Number will be generated (format TAR-YYYY-####, where LLL is the unique 3-digit code designated for Tariff Submissions) ❑ Tariff submission will be routed to the Inbox → Tariff Queue of the Clerk of the Commission for processing ❑ Email notification confirming receipt of successful tariff submission will be sent to the Clerk of the Commission and the Submitter of the tariff

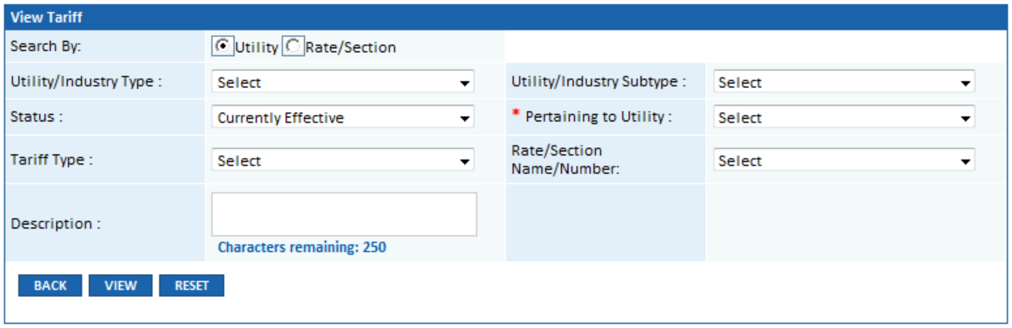
3.9.5 View/Search

Objective:

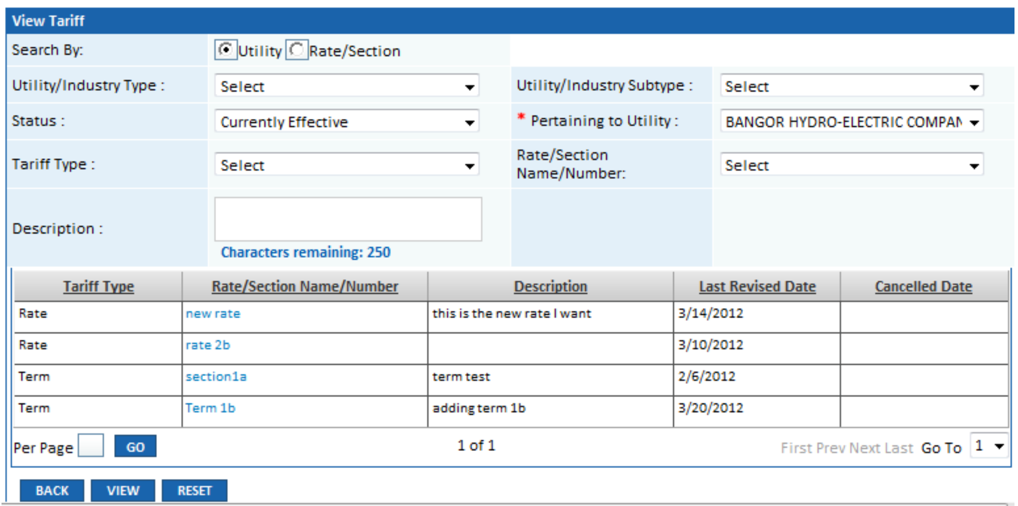
❖ View Rate/Term in Existing Tariff Book

Step	Action
1.	❑ From the **Home Page** ❑ Click on **Tariff File** from the **Access Menu** ❑ From the **Submenu**, click on **View/Search** .

2. View **Tariff Screen** will display



- Click respective **Radio Button** to search by Utility Type or Rate/Section
- Enter search criteria and click on **View Button**



- Search results will get displayed. Click on **Rate/Section Number hyperlink** to view the associated metadata (details) and documents

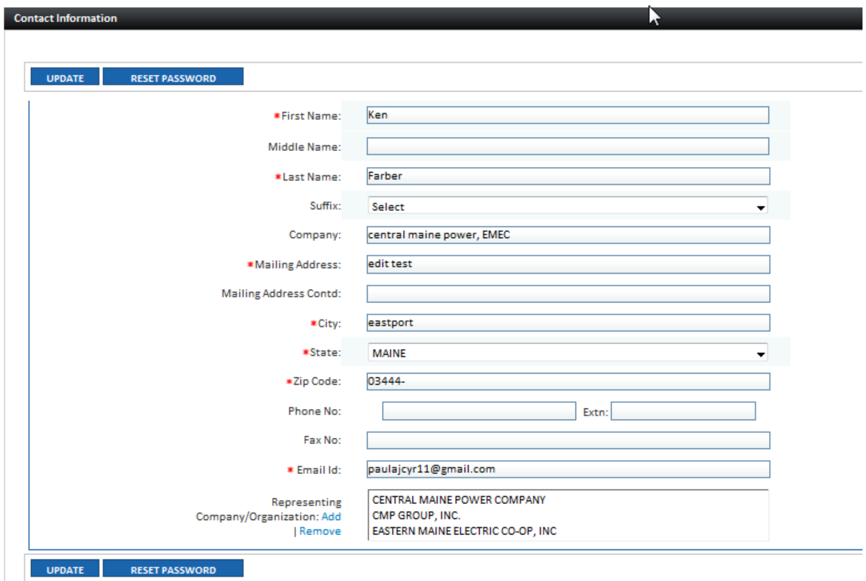
3.10 Update Contact Information

External Registered Users will be empowered to keep their contact information up-to-date. In addition to keeping their contact information current, External Registered will also need to keep their “Representing Company/Organization” list updated as this information will be used for populating pick lists when submitting a New Case and/or Filing in a case.

Objective:

- Update Contact Information

<table>
<tr><th>Step</th><th>Action</th></tr>
<tr><td>1.</td><td>From the Home Page →, Click on Update Contact List on the access menu list</td></tr>
<tr><td>2.</td><td>❑ Update Contact Information Screen will be displayed in edit mode

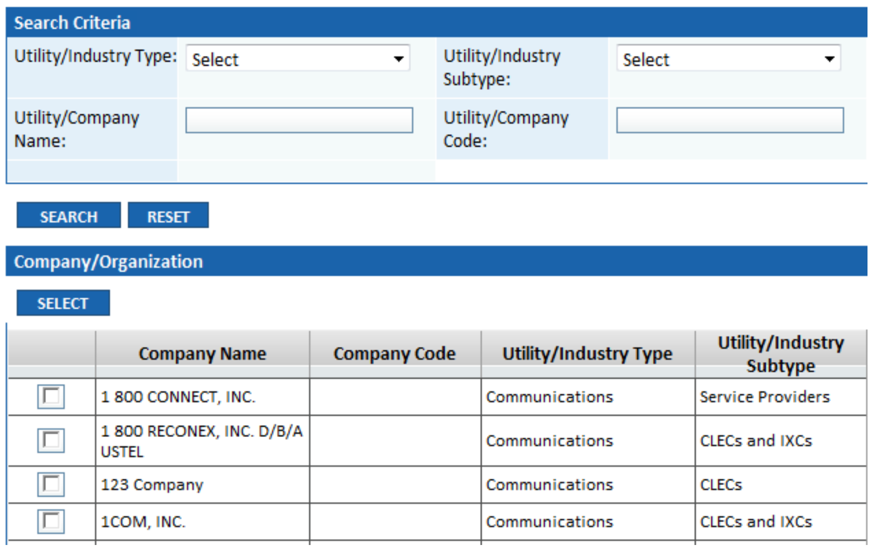


</td></tr>
</table>

<table>
<tr><th>Step</th><th>Action</th></tr>
<tr><td>3.</td><td>

Review Representing Company/Organization details

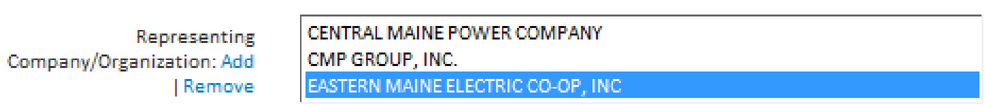
- To update list, click on **Add hyperlink**
- **Search** for Representing Utility/Company
- Select **Checkbox** associated with Utility/Company that needs to be added to logged in users Representing list
- Click on **Select Button**
- Click on **Update Button** to save updated contacts



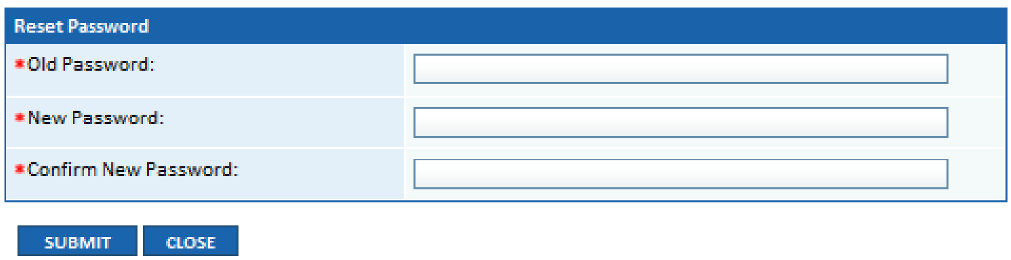
</td></tr>
<tr><td>4.</td><td>

To remove a Representing Company/Organization

- Highlight Representing Name and click on **Remove hyperlink**



</td></tr>
</table>

Step	Action
5.	To Change Password ❑ Click on **Reset Password Button** ❑ Enter **Old Password** ❑ Enter **New Password** ❑ Enter **Confirm New Password** ❑ Click on **Submit Button** 
6.	Click on **Update Button** to save changes
7.	These updates will be reflected throughout the application on all Notification Lists, Active Party Lists, Master Mailing Lists, etc. to which the logged in user has subscribed.